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# Practical Guide to Multilateral Needs Assessments in Post-Conflict Situations

A Joint Project of

The United Nations Development Programme, World Bank,  
United Nations Development Group



## Foreword

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The Practical Guide is the result of a positive collaboration between the United Nations Development Group, the Bureau of Crisis Prevention and Recovery of the United Nations Development Programme, and the Conflict Prevention and Reconstruction (CPR) Unit of the World Bank. The German Agency for Technical Cooperation (GTZ) was contracted to prepare the guide with support from the German Ministry for Economic Cooperation and Development.

The guide includes a discussion of the context in which post-conflict needs assessments take place, its links with the post-conflict recovery phase, and a broad typology of post-conflict settings that influence the approach to the needs assessment. The guide reviews some key conceptual issues, including the need to embed the process within a longer-term vision on reconstruction, linkages to other processes, the selection of priority sectors, approaches to costing needs, integration of cross-cutting issues such as gender and environment, and the need to focus on institutional capacity building. The guide includes recommendations on managing the needs assessment process, from the preparatory phase to the lessons-learned phase. It also presents indicative estimates of the costs involved in mounting needs assessments missions. Throughout the guide, the emphasis is on practical approaches and recommendations, with a focus on sequenced steps, phases and responsibilities.

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## Acronyms

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ADB	Asian Development Bank
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (German Federal Ministry for Economic Cooperation and Development)
CAF	Country Assistance Framework
CAP	Consolidated Appeal Process
CAS	Country Assistance Strategy
CCA	Common Country Assessment
CDA	Conflict-related Development Assistance
CHAP	Common Humanitarian Action Plan
DAC	Development Assistance Committee
DDR	Disarmament, Demobilization and Reintegration
EC	European Commission
ECHA	UN Executive Committee on Humanitarian Affairs (ECHA)
ECLAC	European Commission for Latin America and the Caribbean
EU	European Union
GTZ	Gesellschaft für Technische Zusammenarbeit (German technical cooperation)
HDI	Human Development Index
IDP	Internally Displaced Persons
IMF	International Monetary Funds
MDG	Millennium Development Goals
OCHA	UN Office for the Coordination Humanitarian Affairs
OSCE	Organization for Security and Co-operation in Europe
PCNA	Post-Conflict Needs Assessment
PRSP	Poverty Reduction Strategy Paper
RBPF	Results-based Planning Framework
TOR	Terms of Reference
TSS	Transition Support Strategy
UN	United Nations
UNCT	United Nations Country Team
UNDAC	United Nations Disaster Assistance Coordination
UNDAF	United Nations Development Assistance Framework
UNDG(O)	United Nations Development Group (Office)
UNDP	United Nations Development Program
UNDP-BCPR	UNDP–Bureau for Crisis Prevention and Recovery
USAID	US Agency for International Development

## Glossary

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<b>Clusters</b>	Clusters are thematic groups composed of selected sectors or topics, depending on the specific country setting. For example, the cluster Institutions and Capacity Building of the Sudan needs assessment comprised the topics decentralization, capacity building, public administration and expenditure management. A cluster is coordinated by a cluster manager. The sectors or topics of a cluster are managed by sector specialists.
<b>Conflict</b>	“A relationship between two or more interdependent parties in which at least one of the parties perceives the relationship to be negative or detects and pursues opposing interests and needs.” (Ropers 1999, quoted in GTZ 2001) In the context of this guide, conflict mainly refers to situations of macro-political violence between two or more warring parties.
<b>Conflict sensitivity</b>	Ability to understand the interaction between humanitarian, development and other interventions and the (conflict) context, and to act upon this understanding to avoid negative impacts and maximize positive contributions (FEWER 2004).
<b>Do No Harm</b>	Approach seeking to avoid unintended negative impacts of development and other interventions on conflict (Anderson 1999).
<b>Human security</b>	Freedom from pervasive threats to people’s rights, safety or lives. Embraces the twin objectives of “freedom from fear” (referring to the threat of violence, crime and war) and “freedom from want” (referring to economic, health, environmental and other threats to people’s well being) (UN 1994).
<b>Needs</b>	The term “needs” is used to describe the need for humanitarian or development interventions to bridge the gap between identified deficits and the envisioned future (short-term post recovery) situation of a sector or country.
<b>Needs assessment</b>	Needs assessments were first introduced by humanitarian agencies, involving the definition of basic needs, the identification of deficits in the fulfillment of these needs (based on standards, and considering vulnerability, risks and capacities), and the assessment of required external assistance to close these deficits. Needs assessments for recovery and developmental purposes take a broader view of needs, including institutional, policy and infrastructure issues.
<b>Peace building</b>	“Peace-building aims to build and enable durable peace and sustainable development in post-conflict situations.” Immediately after conflict, peace-building focuses on economic recovery, the removal of small arms from the community, the rebuilding of governance institutions, the launching of reconciliation processes, the releasing of land for agricultural purposes, and the rebuilding of social capital (UNDP 2001).
<b>Recovery</b>	”The recovery approach focuses on how best to restore the capacity of the government and communities to rebuild and recover from crisis and to prevent relapses. In so doing, recovery seeks not only to catalyze sustainable development activities but also to build upon earlier humanitarian programs to ensure that their inputs become assets for development.” (UNDP 2001) The recovery period generally covers the first decade after the end of conflict.

<b>Recovery needs</b>	Those priority investments in human, material and social development which a society needs to overcome the roots and consequences of violent conflict and achieve political stability, security, justice and social equity.
<b>Results-based planning framework</b>	The Results-Based Planning Framework (RBPF) or Results Matrix is a planning and management tool that provides a framework for designing the strategy and implementation plans around specific and measurable outcomes. At the post-conflict needs assessment planning stage, use of the framework forces questioning of the strategy and increased selectivity. During implementation the framework is used for management purposes—to help assess if implementation is on track and if not why not. The framework also facilitates the link to post-recovery development planning.
<b>Stakeholders</b>	In general terms, the term stakeholders refers to all those groups which share a common interest in a certain issue or intervention, or which are affected by it in a similar way. Stakeholders in a post-conflict needs assessment involve the parties (formerly) engaged in conflict as well as other groups likely to be involved in or affected by recovery activities.
<b>Transition (post-conflict)</b>	“The period in a crisis when partnerships with the international community are most crucial in supporting or underpinning still fragile cease-fires or peace processes by helping to create conditions for political stability, security, justice and social equity.” (based on UNDG/ECHA definition 2004) The transition period generally lasts about two years after the end of conflict.

# PRACTICAL GUIDE TO MULTILATERAL NEEDS ASSESSMENTS IN POST-CONFLICT SITUATIONS

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## 1. INTRODUCTION TO THE GUIDE

### 1.1 Purpose of the Practical Guide

#### Introduction to the Post-Conflict Needs Assessment (PCNA)

Over the last decade, donors have attributed increasing importance to providing timely and substantive support to post-conflict recovery and peace building. A large part of this assistance is mobilized via international reconstruction conferences, at which donors make pledges based on an overall assessment of post-conflict recovery needs. Thus, the post-conflict needs assessment (PCNA) has recently become a key entry point for conceptualizing, negotiating and financing post-conflict recovery strategies.

Generally, PCNAs are jointly carried out by the UN and the World Bank, sometimes in conjunction with other key donor agencies. This guide aims to support current efforts among these agencies to further enhance their engagement in the PCNA by learning from available experience. It draws strongly on material from recent needs assessments in Timor-Leste, Afghanistan, Sri Lanka, Iraq and Liberia.

#### **Box 1: Definition: The Post-Conflict Needs Assessment**

A complex analytical process led by the national authorities and supported by the international community and carried out by multilateral agencies on their behalf, with the closest possible collaboration of national stakeholders and civil society. The needs assessment aims to overcome consequences of conflict or war, prevent renewed outbreak and shape the short-term and potentially mid-term recovery priorities as well as articulate their financial implications on the basis of an overall long-term vision or goal.

This guide treats the PCNA both as a methodology and a process:

- As a methodology, the PCNA involves the technical assessment of recovery needs and development of a post-conflict transition strategy.
- As a process of consultation, negotiation and analysis, the PCNA provides a platform for national and international actors to agree on joint priorities, define their commitments and prepare their activities.

In this sense, the PCNA is both a technical and a political exercise. It is therefore important to bear in mind that the PCNA is part of an ongoing peace process. It has the potential to facilitate this process by providing spaces for dialogue on common priorities and mobilizing resources to address key problems. There is also the risk, however, that the PCNA will obstruct a peace process by alienating key stakeholders or focussing negotiations on the material gains from recovery assistance.

#### **Rationale and Value Added of a PCNA**

Considering the substantial investment in time and resources by the international community in PCNAs, it is worthwhile articulating the rationale for such a substantial endeavor. After the end of a prolonged violent conflict, there is a need: (i) for a review and stock-taking regarding the recovery needs to get the country back on track toward sustainable development; and (ii) to secure financial support for this process, as the country torn by conflict will usually not be able to finance this from its own resources.

In addition, in most cases the international community has an inherent interest in supporting the stabilization of countries emerging from conflict. Therefore, while the dimension and extent of PCNAs are subject to differing approaches, there is a clear rationale for obtaining a comprehensive assessment of a post-conflict country's needs before considering funding possibilities.

In terms of value added, the following results and impacts can be expected from a PCNA of the type proposed in this guide:

- Provides donors, national authorities, and non-governmental organizations (NGOs) and other stakeholders, with a comprehensive and fairly objective estimate of needs;
- High international visibility resulting in more substantial financial pledges for recovery and reconstruction;
- International consensus on recovery priorities leading to less program overlap and more coherence between donors;
- Early focus on the roots of the conflict and measures to help overcome them in the context of recovery and reconstruction;
- Increased political momentum and support for the peace process;
- Increased legitimacy of the national authorities (conflict parties); and
- Establishment of a conceptual basis for an Interim Poverty Reduction Strategy Paper (I-PRSP), as well as World Bank and UN country strategies (Country Assistance Strategy—CAS; and UN Development Framework—UNDAF, respectively).

### **Objectives of Post-Conflict Recovery**

In order to create the enabling conditions for sustainable and peaceful development, post-conflict recovery assistance is generally oriented toward the following goals:

- Political stability;
- Security and respect for human rights;
- Reduction of social exclusion and social healing;
- Access to services; and
- Adequate standard of living.

### **Purpose of the Practical Guide**

PCNAs are complex multi-stakeholder processes, which routinely take place under extreme time constraints. This guide aims to help make PCNAs more effective by systematizing the analysis and suggesting more efficient processes. In particular, it contributes to:

- the definition of *common minimum standards* regarding quality, reliability and inclusiveness of the assessment;
- a *fast-track professional response* by the international community when recovery planning becomes feasible; and
- *lowering the costs* of PCNAs by promoting systematization and standardization.

## **1.2 Target Audiences**

The practical guide has been prepared for:

- Multilateral agency headquarters and in-country staff with responsibility for steering, coordinating and contributing to the PCNA;
- The PCNA management team responsible for managing data collection, analysis and preparing the final report;
- Cluster/sector managers and technical mission staff responsible for sectoral assessments; and
- National authorities, conflict parties, civil society and other stakeholders contributing to the PCNA.

## **1.3 Content and Structure**

These guidelines are presented in four chapters, including an extensive Annex with practical reference and support (available on line). The first chapter introduces the purpose and the target audience of the practical guide. It provides the user of the guide with an introduction of essential definitions and objectives of PCNAs and post-conflict recovery. The second chapter provides background information

and guidance for: (i) assessing the post-conflict situation of the respective country in which the PCNA will take place, and (ii) initiating the PCNA according to minimum requirements. The third chapter provides key conceptual elements which are essential for all PCNA mission members. They are conducive to reaching a successful outcome, including the best possible analysis, recovery scenario and cost estimates under existing conditions. The fourth and last chapter describes a systematic, step-by-step approach for managing the complex PCNA process.

#### 1.4 How to Use the Guide

The practical guide is designed for different target audiences according to their tasks within the PCNA process. Thus, the guide is not designed to be read from cover to cover. However, no chapter is independent of the others. Chapters one to three should be read by all staff of the PCNA. In order to avoid repetition, cross-referencing between chapters and sections has been used to guide the reader to all the relevant information. Chapter four refers to the management process in detail and step by step, although the order of the steps can vary. Annex 1 provides an overview of the persons in charge according to the steps presented in Chapter four.

In general, the following audiences should read the respective sections of the practical guide as follows:

All staff should be familiar with the 'basics'...	...in Chapters 1 to 3.
When there is a political decision to conduct a PCNA...	...decision-makers in headquarters and in-country staff responsible for steering, coordinating and contributing to the PCNA should read Chapters 2 and 3 in order to set time frames and structure the PCNA process.
When the PCNA management team has to prepare the PCNA mission...	...they and the PCNA coordinator should refer to Chapter 4.1
Cluster/Sector managers and technical mission staff with responsibility for sectoral assessments...	...should refer to Chapter 4.2
National authorities, conflict parties, civil society, other stakeholders ...	...should refer to Chapters 2 and 3
After the donor conference has taken place...	...the PCNA coordinator and the secretariat should refer to Chapter 4.4.
The units responsible for designing and monitoring future PCNA...	...should read Chapter 5.

## 2. THE POST-CONFLICT SITUATION: THE CONTEXT OF RESPONSE

### 2.1 The PCNA and the International Donor Conference

In a globalizing world, violent conflicts are no longer local phenomena, but impact on the security and well-being of people in many other parts of the world. Donor countries are increasingly challenged by civil wars and regional conflicts, and develop new responses, which may include both military (e.g., UN peace keeping forces, North Atlantic Treaty Organization interventions) and/or development components. Development assistance to countries in transition from violent conflict to peace generally aim to:

- support the implementation of a peace agreement;
- provide the population with an early peace dividend;
- address the developmental causes of conflict; and
- assist in the restoration of stable and just structures in the country.

International donor conferences have become the major mechanism for mobilizing and coordinating international recovery assistance to post-conflict countries. They are built around the PCNA document generally prepared by the UN and World Bank, against which individual donors make their pledges. This contributes to enhancing the coherence of donor assistance as well as the transparency of their contributions. In contrast to the Consolidated Appeal Process (CAP), sectors in the PCNA are not associated with particular agencies, so that donors are free to choose the implementation mechanisms they find most suitable.

A PCNA is therefore best understood as a technical document representing the objective needs of the country, requiring the greatest possible accuracy. The PCNA does not include individual program proposals.

At the same time, the PCNA is a political process among national and international actors attempting to elaborate a development perspective for future peace and stability. The PCNA therefore needs to present a compelling vision of the country's future development and set out a road map for post-conflict recovery. For this, it must be tailored to the specific local and national context, especially to:

- Reflect the political processes which underpin the post-conflict transition;
- Reflect an in-depth understanding of national realities; and
- Importantly, ensure that the results of the assessment are owned—and presented—by national (transitional) authorities.

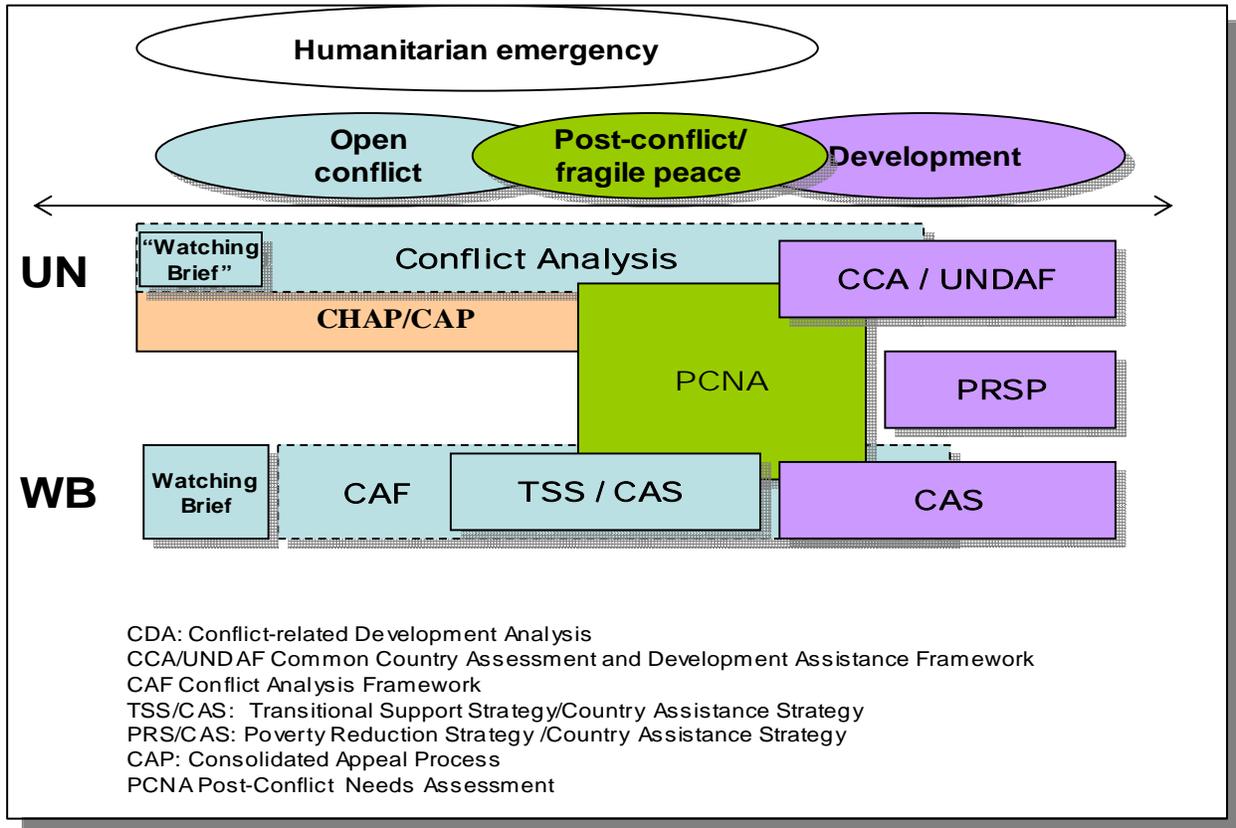
## **2.2 The PCNA within the Continuum from Humanitarian to Development Assessments**

The PCNA generally takes place in the early transition phase from violent conflict to peace. It is usually preceded by humanitarian assessments, which may have taken place during the conflict, and is followed by longer-term oriented development assessments (e.g., CCA; Poverty Reduction Strategy Paper, PRSP). Figure 1 illustrates the status of the PCNA in relation to other multilateral assessment processes. In individual cases, however, assessments and planning processes may take place at different moments in time.

During open conflict, humanitarian needs assessments such as the UN “flash appeals” and the CAP constitute the primary response of the international community. At the same time, the UN and the World Bank may engage in a “Watching Brief” process to monitor the situation and identify opportunities for re-engagement. In this period, an active UN and World Bank engagement in dialogue and capacity building can increase the readiness of national actors and development agencies to later engage in and contribute to a high-quality PCNA process.

As the country moves out of conflict, humanitarian assessments often remain important, but more long-term planning becomes possible. At this stage, PCNAs are organized to support the immediate post-conflict recovery process. When some degree of stability has been achieved, development-oriented national planning processes such as the PRSP and the CCA/UN Development Assistance Framework (CCA/UNDAF) can be initiated. However, a PCNA should also be used by UN Country Teams in place of a CCA if they feel ready to prepare a UN Development Assistance Framework soon after the PCNA has been completed. Throughout, needs assessment and planning should be supported by an analysis of the conflict and the peace process based on tools such as the Conflict-related Development Analysis, CDA (UN) or the Conflict Assessment Framework, CAF (World Bank).

In comparison to developmental assessments, the PCNA focuses on a relatively short time horizon of 12-24 months, but is usually guided by a medium (24-60 months) to long-term (5-10 years) perspective. Different from humanitarian assessments with similarly short timeframes, the PCNA is development-oriented and focuses on creating the enabling conditions for long-term peace and development. Humanitarian, post-conflict and development assessments should be accompanied by an ongoing conflict analysis.

**Figure 1:** Status of PCNA in Relation to Other Multilateral Assessments

Post-conflict periods are characterized by the simultaneous presence of humanitarian and recovery needs. Addressing these needs requires different approaches, levels of resources and also actors. In practice, the PCNA is often preceded by a humanitarian Consolidated Appeal Process (CAP), whereby overlaps in remit and activities are inevitable. While the CAP is an appeal launched by agencies who themselves will act as principal implementers, the PCNA provides an overview of financial requirements and proposed disbursement, financial management and accounting mechanisms. Where a CAP and a PCNA closely follow each other, it is necessary to include and indicate the nature and costs of humanitarian needs defined in the CAP in the PCNA. This may also include the indication of all financial needs in the national budget and the definition of procedures for channeling the funding. This enhances transparency for donors and national stakeholders.

### 2.3 The PCNA in the Context of Post-Conflict Recovery

Post-conflict recovery planning can benefit from contextualizing recovery assistance within a broader timeframe, which can help to: (i) sequence recovery priorities in accordance with the country's evolving needs, and (ii) time external assistance in line with the country's management and implementation capacities.

Successful post-conflict countries pass through a number of stages on the road to peaceful and sustainable development. This is not necessarily a linear process, and countries may suffer reversals. Nevertheless, experience and research (e.g., Collier et al. 2003) generally distinguishes three major phases:

Phase	Time horizon	Absorptive capacity	Economic growth
Stabilization/ Transition	12 months	Low	Low
Transformation/ Institution building	12-36 months	Rising	Low
Consolidation	36-120 months	High	High

Within this sequence, the PCNA approximately covers the first two phases of post-conflict recovery. In both phases, the capacity of national institutions to make effective use of external assistance is still low and economic growth slow. These phases, however, are critical to lay the foundations for a spur in reform and growth, which usually takes place between the fourth and seventh year and then tapers off toward the end of the first decade after conflict. Therefore, it is important to maintain the momentum of external assistance beyond the immediate post-conflict period.

Each phase of the recovery process requires its own priority setting. The following table provides some indicative priorities, which should be considered when preparing for a PCNA. Among these, the assessment should particularly focus on those factors presenting risks to the peace process.

Phase	Indicative recovery priorities
Stabilization/ Transition (12 months)	<ul style="list-style-type: none"> <li>▪ Security</li> <li>▪ Political framework</li> <li>▪ Macro-economic framework</li> <li>▪ Support to national capacities</li> <li>▪ Consolidation of a small civil service</li> <li>▪ Restoration of essential infrastructure</li> <li>▪ Restoration of essential services</li> <li>▪ Meeting humanitarian needs</li> <li>▪ Return of refugees/IDPs</li> <li>▪ Dialogue and trust building between former conflict parties</li> </ul>
Transformation Institution building (12-36 months)	<ul style="list-style-type: none"> <li>▪ Political reform</li> <li>▪ Economic reform</li> <li>▪ Judicial reform/rule of law</li> <li>▪ Institutional capacity building</li> <li>▪ Security sector reform</li> <li>▪ Disarmament, demobilization and reintegration</li> <li>▪ Restoration of important infrastructure</li> <li>▪ Restoration of productive capacities</li> <li>▪ Extension of essential services</li> <li>▪ Social safety nets</li> <li>▪ Food security</li> <li>▪ Continued return of refugees/IDPs</li> <li>▪ Reconciliation process/social healing</li> </ul>
Consolidation (36-120 months)	<ul style="list-style-type: none"> <li>▪ Continuation and deepening of reform processes</li> <li>▪ Institutional capacity building</li> <li>▪ Extension of infrastructure and services</li> <li>▪ Reconciliation/social healing</li> <li>▪ Inclusive policies</li> </ul>

## 2.4 Typology of Post-Conflict Situations

The PCNA should reflect an in-depth knowledge of the country situation and be carried out with a maximum of national leadership and involvement. Early post-conflict situations, however, sometimes present special challenges that make it difficult to achieve the levels of local participation, ownership and data quality that have become good practice in development cooperation. The main bottleneck in this regard is the capacity of national institutions to engage in the needs assessment. Furthermore, the level of national capacities and, often related, the degree of (in)security in the country have implications for

recovery planning. From this operational perspective, it makes sense to distinguish between two types of post-conflict situations.

These distinctions should not be regarded as absolute, but rather as the two ends of a continuum. Countries are usually found between these two extremes and in the course of time may move in either direction. Decisions on the content, process and planning horizon of a PCNA therefore have to be taken on an individual basis and may need to be adjusted during the course of the assessment. The aim is to achieve the largest possible degree of national ownership.

#### ➤ **Type A: Strong National Capacities**

In this case, a well-established government and/or conflict parties have committed themselves to peace and to ensuring relative stability and security in the country. This is frequently the case where the conflict took place in parts of the country only (e.g., Sri Lanka, Sudan). There is often a formal truce, while official peace negotiations are under way. In some cases, the conflict parties establish joint mechanisms to steer the needs assessment.

In this case, national authorities have the capacity to fully engage in the PCNA. Together with a relatively stable security situation, this allows for a complex and participatory approach including extensive in-country data collection and consultation processes. As national contributions and ownership are likely to be high, planning can be oriented beyond the short-term (0-18 months) to include medium-term (18-36 months) recovery and development needs.

Particular care is required in managing relations with and between the (former) conflict parties. As mutual trust is likely to be low, a balanced approach and transparency are key to the success of the assessment. On the other hand, (former) conflict parties sometimes join forces in rejecting attempts by the international community to address root causes of conflict or institutional and security issues in the context of the PCNA. This may be partly because these sensitive issues are still under negotiation in the peace talks, or partly because the parties are not yet ready to surrender influence and power to the new transitional structures.

#### ➤ **Type B: Weak National Capacities**

In the opposite case, internal turmoil or external occupation have ousted the previous government, while an internationally recognized new government is still being formed (e.g., Iraq, Timor-Leste). Otherwise, the entire state apparatus may have eroded over the years leaving little capacity to build on. This situation is typical after a protracted conflict including multiple conflict parties and regional fragmentation (e.g., Afghanistan). In these countries, peace is usually fragile and violence ongoing at the local level or in certain regions.

Even where a transition government is in place, it usually lacks capacity to make substantial contributions to the needs assessment. In-country movement and stakeholder consultations have to be reduced to a minimum due to lack of security and access.<sup>1</sup> In this situation, it may be more realistic to conduct a preliminary PCNA with a short-term focus (up to 18 months), which will be repeated after about 18-24 months under leadership of the new transitional government and with stronger civil society involvement. Such a “light” PCNA would involve a smaller team and concentrate on key areas required for stabilizing the country. Proposals should be robust enough to be feasible under difficult security conditions and conflict scenarios. In contrast to the humanitarian CAP, however, a light PCNA also focuses on developmental approaches including a conflict analysis. Inevitably, quality standards for a preliminary PCNA may be lower.

Where national counterpart capacities are weak, international agencies may find it easier to promote discussions and inclusion of sensitive areas such as security sector reform, institutional reform, and

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<sup>1</sup> These are not absolute distinctions. In some PCNAs, even a weak transitional government has shown a great deal of involvement and achieved an impressive amount of stakeholder consultation.

reconciliation, as well as measures addressing the root causes of conflict. While this certainly enhances the comprehensiveness of the assessment, the political will and institutional capacity in the country to implement these measures have to be critically evaluated.

The following table illustrates the key features of type A and B post-conflict situations. Again, it is important to regard these as the two end points of a continuum.

<b>Characteristics</b>	<b>Type A Strong national capacities and relative stability</b>	<b>Type B Weak national capacities and high instability</b>
Conflict type	<ul style="list-style-type: none"> <li>▪ Conflict in regions of the country</li> <li>▪ Sub-regional war</li> </ul>	<ul style="list-style-type: none"> <li>▪ Protracted conflict</li> <li>▪ Complex political emergency</li> <li>▪ External occupation</li> </ul>
Government	<ul style="list-style-type: none"> <li>▪ In place</li> <li>▪ Internationally recognized</li> <li>▪ Policy and implementing capacity</li> </ul>	<ul style="list-style-type: none"> <li>▪ Failing state</li> <li>▪ Non-existent or nascent</li> <li>▪ Internationally not recognized</li> </ul>
Other conflict parties	<ul style="list-style-type: none"> <li>▪ One major opposition group</li> </ul>	<ul style="list-style-type: none"> <li>▪ Multiple warring factions</li> <li>▪ International occupying forces</li> </ul>
Conflict resolution	<ul style="list-style-type: none"> <li>▪ Truce existing and observed by the conflict parties</li> <li>▪ Increasing stability</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unstable truce</li> <li>▪ Low-intensity or regional violence</li> <li>▪ High instability</li> </ul>
International peacekeeping	<ul style="list-style-type: none"> <li>▪ UN, OSCE or regional peacekeeping forces may be installed</li> </ul>	<ul style="list-style-type: none"> <li>▪ Occupying forces or NATO peacekeepers may be present</li> </ul>
Examples	<ul style="list-style-type: none"> <li>▪ Sri Lanka</li> </ul>	<ul style="list-style-type: none"> <li>▪ Afghanistan</li> <li>▪ Liberia</li> </ul>

The consequences of type A/B post-conflict situations for the process and substance of the PCNA can be summarized as follows. They should be considered when preparing a PCNA according to the steps suggested in Chapter 4.

<b>Consequences for PCNA</b>	<b>Type A</b>	<b>Type B</b>
Role of national authorities/conflict parties	<ul style="list-style-type: none"> <li>▪ Provide political guidance to the PCNA</li> <li>▪ Present results of PCNA at the donor conference</li> </ul>	<ul style="list-style-type: none"> <li>▪ Contribute to the PCNA</li> <li>▪ Present results of PCNA at the donor conference where appropriate</li> </ul>
PCNA mission	<ul style="list-style-type: none"> <li>▪ Complete national counterpart structure</li> </ul>	<ul style="list-style-type: none"> <li>▪ Nationals participate in PCNA mission on an individual basis</li> </ul>
Time horizon (sequencing)	<ul style="list-style-type: none"> <li>▪ Stabilization and transformation phase (0-36 months)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Extended stabilization phase (18 months)</li> <li>▪ Follow-up assessment after 18-24 months</li> </ul>
Priorities/cluster selection	<ul style="list-style-type: none"> <li>▪ Include political and economic reform agenda, justice, reconciliation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Focus on security, stability and restoration of livelihoods</li> </ul>
Mobility	<ul style="list-style-type: none"> <li>▪ Mission may move within the country</li> </ul>	<ul style="list-style-type: none"> <li>▪ Insecurity limits mobility of PCNA mission</li> </ul>
Stakeholder involvement	<ul style="list-style-type: none"> <li>▪ Data collection includes field work</li> <li>▪ Sectoral validation workshops in the capital and regions</li> <li>▪ Broad-based consolidation workshop</li> </ul>	<ul style="list-style-type: none"> <li>▪ Secondary data collection</li> <li>▪ Consultations in capital only or with diaspora</li> </ul>

in capital		
Data quality	▪ Potentially high	▪ Low
Capacity building	▪ Joint PCNA steering mechanism by conflict parties may contribute to common governance structures	▪ PCNA process may contribute to emergence/consolidation of national planning structures
Implementing mechanisms	▪ National structures coordinate and/or carry out large part of recovery programs, supported by technical assistance	▪ Quick-impact programs by international agencies, capacity building and technical assistance for national structures to prepare for stronger involvement

### Minimum Requirements for Initiating a PCNA

A PCNA requires certain minimum conditions to fulfill its objectives of addressing the developmental causes of conflict and providing an incentive for the parties to the peace process. Multilateral agencies should define such minimum conditions for engagement and clearly communicate them to international donors and the parties to the conflict. Although individual decisions have to depend on an in-depth assessment of local dynamics, the following benchmarks indicating the possibility of a PCNA are suggested (based on work by UNDG/ECHA 2004):

- A peace agreement has been signed or the peace process is very advanced;
- National authorities agree to embark on a PCNA process;
- Major donors accept the need for, and are willing to support recovery programs for the country;
- The situation is politically stable enough and conducive for the return and reintegration of refugees and internally displaced populations (based on UNHCR/OCHA recommendations); and
- The political and administrative system in place has a minimum capacity or is being supported to build its capacity to work in partnership with the UN system on recovery planning, coordination and program implementation.

Disbursement of recovery funds may be made dependent on a peace accord and initial steps towards its implementation.

## 3. CONCEPTUAL ELEMENTS OF NEEDS ASSESSMENTS

### 3.1 Introduction

A PCNA as developed in this guide rests on a number of key conceptual elements. They are conducive to a successful outcome, including the best possible analysis, recovery scenario and cost estimates under the circumstances—as well as keeping all actors involved as co-owners of the process. The conceptual elements are at the core of a PCNA and should direct the efforts of all involved staff, from the senior management at UNDG and the World Bank up to each sector or cross-sector specialist in the mission team. In addition, it is important to share and refine these basic assumptions with national counterparts and stakeholders involved in the PCNA.

### 3.2 Vision for the Recovery Process as the Basis of the PCNA

As the PCNA is the first step in the long process of recovery from violent conflict to peace, stability and socio-economic development, even a short-phased assessment should be guided by a vision of the respective country's future and by longer-term development objectives. It is essential to develop and share this vision with all key stakeholders to the peace process. The long-term recovery vision of the country should be nurtured by three major considerations:

- The priorities and strategies of the parties to the peace process as laid out in the ceasefire agreement or peace accord. Where possible, the perspectives of stakeholders without formal representation at the peace process should also be included.
- A general concern with security, equality, justice, and development as well as with building institutions for peaceful conflict management.
- The long-term objectives and commitments of the international community, such as the Millennium Development Goals (MDGs), the conventions on human rights, and other international standards. They may be complemented by the measurement of progress through the Human Development Index (HDI).

⇒ Chapter 4.1: Step 7

### **3.3 Relating the PCNA to the Conflict**

The PCNA should contribute to preventing the recurrence of violent conflict in fragile post-conflict transition situations. This requires a high sensitivity to conflict both in the PCNA process as well as in the identification of recovery needs and their relation to the causes of violent conflict. For this, both the PCNA process and content need be based on conflict analysis.

#### **The PCNA as a Peace-Building Tool**

Donors initiate PCNAs in order to provide political and material support to an emerging peace process. In this sense, the PCNA is part of the peace process. Yet there are also considerable risks involved. The prospect of substantial international assistance coming into the country may increase the stakes in the peace negotiations and make it more difficult for the parties to reach sustainable agreements. Tensions are also likely where post-conflict planning may require difficult decisions on future economic and social issues, which are still under negotiation by the conflict parties. In addition, the international attention to the conflict parties may sideline legitimate concerns of the wider population which may not feel represented by either party.

From a “do no harm” perspective, this situation requires a high degree of conflict-sensitivity in the PCNA process. Impartiality, inclusiveness and transparency are key requirements for a successful needs assessment process as well as a timing and pace appropriate to the peace process. Under these conditions, a PCNA can provide a framework to foster awareness and dialogue between the conflict parties regarding the long-term challenges awaiting the country. In the best case, agreements on more technical issues in the context of the needs assessment can pave the way for more substantive political agreements.

#### **Involving Conflict Parties**

The PCNA process should be inclusive and aim for maximum national ownership. It must not further antagonize conflict parties, but involve them in a constructive dialogue on the future priorities for their country. Moreover, the PCNA needs to give a voice to those stakeholder groups which do not feel represented by the conflict parties and lack the political and/or military power to assert their interests. This requires a careful preparation of the PCNA process which can benefit from a good understanding of the various stakeholders to the peace process, their interests, capacities and relations.

⇒ Chapter 4.1: Step 6

#### **Targeting Violent Conflict**

One of the key challenges of post-conflict recovery consists in recognizing and transforming the structures which contributed to violent conflict. Otherwise, recovery assistance risks rebuilding a society that already contains the seeds of future violence. Conflict is still present in a post-conflict situation, only the way of dealing with it has changed. Therefore, an analysis of the conflict and peace process is an essential tool for any PCNA since it examines the factors stabilizing and destabilizing the current situation, and identifies the key actors and their positions. Conflict analysis and/or conflict-sensitive tools

are integrated into the PCNA in each phase: preparation, field work and consolidation. This allows targeting post-conflict recovery programming toward the key factors determining peace and stability in the country.

⇒ **Chapter 4.1: Steps 6, 13 and 18**

### **Selecting Priority Sectors for Post-Conflict Recovery**

The PCNA should focus on those sectors which contain direct conflict risks, as well as those which are critical to peace building and stabilisation. This particularly includes sectors that can deliver a quick peace dividend to the population and help create legitimate national institutions. Conflict analysis can help identify these sectors, orient sectoral assessments towards those issues most relevant to the peace process, and set conflict-sensitive sectoral targets. When assessing national implementing capacities, conflict analysis can help understand the conflict-related roles of key institutions and thus inform decisions on possible partnerships.

The priorities derived from a conflict analysis may need to be balanced with the exigencies of promoting effective governance structures and economic development, whereby peace and stability objectives should remain the primary concern. As initial decisions on sectors and issues of emphasis are necessarily taken on the basis of limited knowledge, refining, deepening and also modifying priorities needs to be regarded as an ongoing process throughout the PCNA.

⇒ **Chapter 4.1: Step 8**

#### **Box 2: Why Conflict Analysis?**

Conflict analysis provides essential information for rendering the process and substance of PCNA conflict-sensitive. This takes place at the following entry points:

- *Designing the PCNA process:* From the very beginning, conflict analysis needs to inform decisions on the PCNA process, particularly national stakeholders to involve and the process of involving them. Furthermore, conflict analysis provides information on conflict actors, conflict issues, and possibly regional dimensions of conflict, which should be considered when selecting national mission members, preparing data gathering, identifying interview partners as well as preparing stakeholder consultations and validation workshops.
- *Visioning and objective setting:* Conflict analysis helps to flesh out a positive vision for the country's future and set recovery objectives, which reflect the country's realities and take account of peace and security issues.
- *Selection of priority sectors and cross-cutting issues:* Conflict analysis helps in selecting those issues and sectors with the greatest potential for promoting peace and stability, or alternatively, identifying those that may become a threat to the peace process and therefore need to be addressed.
- *Sectoral needs assessments:* Within individual sectors, conflict analysis can help focus needs assessments on critical peace issues and factor in security and peace building costs (e.g., costs of providing security to major installations, capacity building costs for the conflict-free management of infrastructure investments in addition to reconstruction costs only). In addition, conflict analysis can help understand the role of different institutions within the conflict and peace process.

### **3.4 PCNA Linkages to the CAP and Development Planning**

During the transition from open conflict to post-conflict development, countries usually go through a series of needs assessment and planning processes. As outlined in section 2.2, these can range from watching brief, humanitarian CAP and PCNA on the one hand, to mainstream development planning in the context of a PRSP and the preparation of Country Assistance Strategies (CCA/UNDAF; CAS/Transitional Support Strategy—TSS) on the other. While each of these assessments has its own specific focus and institutional arrangements, they should build on each other as far as possible. While saving time and resources on the side of the multilateral agencies, this also reduces the burden these complex processes place on the national authorities. In addition, it helps to minimize consultation fatigue among stakeholder and civil society representatives.

The UNDG regards the PCNA as a special type of CCA, and encourages their staff to use it instead of doing a CCA for a period of 12-18 months after the PCNA. In the preparatory phase of a PCNA, provisions should be made to build institutional and substantive linkages between these assessments, including: data sharing, streamlining data collection and consultations, ensuring staff continuity between the assessment missions, and building joint co-ordination mechanisms. The PCNA should integrate the estimated costs of humanitarian assistance within the results-based planning framework and the national budget.

### **3.5 Cooperation and Participation in the PCNA**

Participation and co-ordination efforts should focus on:

- Bringing together a broad range of expertise to produce a PCNA document of high technical quality;
- Creating ownership of and commitment to the results of the PCNA among all stakeholders; and
- Integrating most development actors into a strong recovery framework, enabling smooth cooperation in the follow-up to the PCNA.

#### **Securing National Ownership**

The PCNA process produces a document of national importance that will influence government policy over the next couple of years. The needs assessment should therefore be owned by national stakeholders as far as possible. National ownership will also increase the likelihood of integrating the PCNA's main goals into national policy making and the implementation of respective programs. Building ownership, however, requires enabling conditions in terms of time, capacity (skills, resources) and the political will to consult. In a type B post-conflict situation, where national capacities are weak, additional support needs to be provided to enable national stakeholders to fully participate in the PCNA process.

National stakeholders include the incumbent government and (other) parties to the conflict. In some cases, difficult decisions may be required as to how far internationally ostracized groups should be involved in the assessment. Neither the government nor the conflict parties, however, are likely to represent the full range of interests in society. An effort should therefore be made to consult members of a wide selection of groups, possibly including people outside elite circles.

#### **Integrating the UN System**

The various UN agencies, regional development banks, the World Bank and the International Monetary Fund (IMF) can contribute a broad range of expertise to PCNAs and will be key actors in reconstruction and recovery. However, they require intensive coordination. At headquarters level, the UNDG Technical Working Group is increasingly assuming this role. In-country agencies participating in the process can be usefully co-coordinated via the UN country team (UNCT).

In order to enhance the impartiality and credibility of the exercise, the needs assessment team should be composed of experts chosen on the basis of their individual capabilities, and not their institutional affiliation.

#### **Involving Bilateral Donors and Civil Society**

Bilateral donors and civil society organizations can bring additional country expertise and perspectives to the needs assessment. Early involvement and buy-in by donors increases the likelihood of funding for the PCNA and enhances the coherence of the overall international response. Both donors and civil society need clear structures in order to contribute to a PCNA, however. Participation within the clear mechanisms of a PCNA and at workshops can help secure the co-ownership of the process and the results by donors and civil society.

### **3.6 Selecting Priority Sectors for Post-Conflict Recovery**

Given the limitations of national implementing capacities and international funds, a PCNA should not aim to be comprehensive. Instead, it should focus on those areas that will help stabilize the country and

promote the successful transition from violent conflict to peace. This requires a complex understanding of the factors that drove the conflict and of the risks that the peace process entails based on an analysis of the specific post-conflict situation (see Section 3.3).

Typical *destabilizing factors* during a ceasefire or peace process include: idle and poorly controlled armed groups; uncontrolled arms circulation; widespread unemployment; large numbers of IDPs or refugees; destroyed infrastructure and production facilities; a rise in criminal and interpersonal violence; weak political institutions; competition between political/social groups over the control of incoming aid flows; a strong illicit economy; dysfunctional health and education services; and mistrust and desire for revenge.

In addition to addressing the immediately destabilizing consequences of conflict, a speedy *transition from conflict to peace* needs to be promoted. The longer violent conflict lasted, the greater the extent to which it will have transformed a country's political system, economy and society. This kind of system may become self-perpetuating, as the high number of former conflict countries relapsing into violence demonstrates. PCNAs must therefore develop strategies for addressing these conflict factors.

Conflict is also likely to resume where the *root causes* of the conflict remain unchanged. These may include unequal access to land, education and services, the discrimination of certain religious, ethnic or regional groups, competition over natural resources or resentment caused by bad governance. To sustain the peace process, conflict parties need to be confident early on that their grievances will be addressed. The PCNA should identify key grievances that could re-ignite conflict and propose actions that the national authorities and international community can undertake to mitigate them.

The following sectors and issues merit special consideration in a PCNA to stabilize post-conflict countries and create the conditions for peaceful development:

- *Political reforms* to return the country to democratic rule (e.g., plans for local/national elections, strengthening parliament, and establishing an independent judiciary);
- *Transitional justice* and reconciliation programs (e.g., plans for a truth and reconciliation commission, community justice programs, war crimes tribunal, and measures to resolve land disputes);
- Security sector reform (e.g., integrating rebels in the national army, establishing civilian police, ensuring accountability of security forces, and arms collection and control);
- Promotion of productive activity and *re-establishment of a legitimate market economy* (e.g., opening up regions cut off by conflict, helping to establish markets, export promotion, agricultural extension schemes, vocational training, and de-mining of roads);
- Reconstruction of *basic infrastructure* and restoration of *basic services* including *food security*;
- Promotion of *national dialogue*, peace building and reconciliation (e.g., establishment of reconciliation commissions mandated to manage this process, civic education programs, and establishing an independent human rights commission);
- In case of large numbers of *Internally Displaced Persons (IDPs)/refugees*, voluntary repatriation and reintegration, provisions and emergency services to camps, and resettlement plans; and .
- Supporting the re-establishment of the civil service at the national and local levels.

## ⇒ Chapter 4.1: Steps 6 and 8

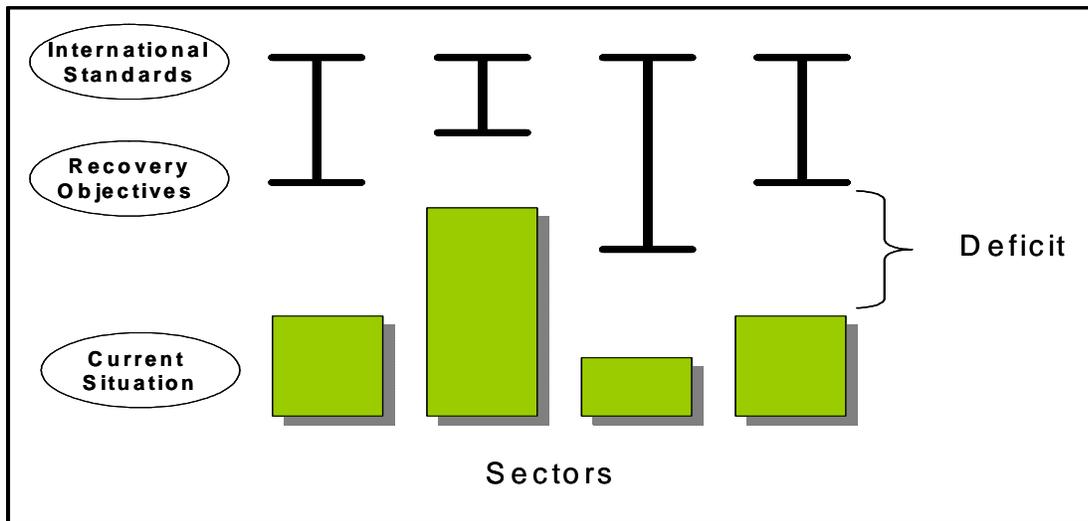
### 3.7 Needs and their Assessment

A key step in the PCNA process involves the primarily technical assessment of the needs for assistance of a particular sector. The overriding issue is to clarify what role the sector plays in the peace process and how it may contribute to achieving stability and peace-building objectives (relevance assessment) as they have been defined in the vision for the recovery phase. Wherever available, internationally accepted objectives and standards (such as the Millennium Development Declaration) should provide the long term

vision for a sector of the country. The concrete (conflict-sensitive) objectives to be reached within the timeframe of the PCNA (2 years) will have to be adjusted to each country's specific post-conflict setting.

Using these adjusted country specific objectives for the recovery phase, the deficits of a sector can be determined by comparing the actual situation against these realistic short term expectations. The gaps between the current situation and the adjusted objectives mark the deficits to be overcome within the time horizon of the PCNA. The identified deficits can be expressed as needs and subsequently priority areas of action can be described. Figure 2 represents the analytical model underlying the assessment.

**Figure 2:** Analytical Model of the Deficit Analysis



### 3.8 Recovery Planning and Costing

#### Results-Based Planning Framework (RBPF)

To be meaningful for a country in a post-conflict situation a needs assessment has to result in a coherent planning document outlining goals, outcomes and necessary interventions. In addition, it needs to indicate key planning assumptions and risks. This is achieved by using a results-based approach for the planning exercise.

A “Guidance Note on Planning and Costing”, describing how to establish a results-based planning framework is provided in Chapter 4.2 Steps 15 and 16.

#### ⇒ Chapter 4.2: Steps 15 and 16

The basis for planning is derived from the analysis of needs. Through the analysis, a clear picture of the development gaps for each sector has been provided, describing the deficits between the current situation and the envisioned state. Here, it is important to select and define targets against which the deficits are measured in a conflict-sensitive manner. Among others, they should include the peace building priorities identified by conflict analysis. These deficits which determine the current needs and priority areas/issues of actions are now expressed as objectives, distinguishing between development goals, target outcomes and necessary interventions.

It is always important to keep in mind the conflict context. When, for example, water is identified as a main conflict issue, the planned intervention should not be restricted to the physical rehabilitation of an irrigation scheme only, but should also address management issues, aiming to ensure equitable and transparent distribution of water in order to reduce the potential for future conflicts.

### **Estimating Resource Requirements**

The objective of the costing exercise is to estimate the needed financial resources to implement the planning for the priority areas and thus to inform and guide the commitments and pledges at the donor conferences. The approach used is based on the sectoral analysis—as already used to estimate costs for sector-wide approaches in education or health. Each sector must generate basic information on demographics (to assess the client population and estimate trends); on the delivery system (e.g., items in a basic health care package, number of villages visited by mobile health teams, and length of schooling cycles); and on cost parameters (supply-side costs such as teacher wage, teacher-student ratio, fixed and variable costs for mobile health teams, unit costs for delivery of basic health care package). This information can then be used to compute outputs and assess the overall public cost of reaching them.

The “soft” (or non-physical) sectors in reconstruction, such as macro economy, security, governance etc., which have different characteristics, may build the needs assessment on a program analysis. The costs are assessed by calculating the amount necessary to implement identified interventions and programs, which are needed to achieve agreed targets. Close coordination with the IMF and the public budgeting process is critical in order to get an overview of expected government revenues, and its participation in recurrent expenditures and capital investments.

The “Guidance Note on Planning and Costing” in Annex 30 provides details on how to consistently estimate recovery costs across sectors .

### **Linking up with National Planning Processes**

Recovery planning in the context of the PCNA needs to feed into subsequent national planning processes as much as possible. Where a transitional national government is in place, a high level of national participation in PCNA planning can build the foundations for taking up PCNA results in subsequent national policy-making, planning and budgeting processes. Methodologically, a results-based transition framework on the basis of a Log Frame approach can enhance the compatibility between planning processes and instruments. In this way, a government recovery program based on the main results of the PCNA could become the core of an Interim PRSP. More conceptual work is required in this area, however.

### **3.9 Integrating Key Cross-Cutting Issues**

Cross-cutting issues affect all or a substantial number of sectors important for post-conflict recovery and should therefore be considered in every cluster/sector analysis. Typical cross-cutting issues are:

- *Gender*: violent conflict and civil strife predominantly affect the civilian population, the majority of whom are women and children. On the one hand, women and children suffer from violent conflict in particular ways (e.g., female headed households, gender-based violence, child soldiers, and trauma) and have specific needs in post-conflict recovery. On the other hand, women and children can contribute their unique skills and capacities to the peace process.
- *Environment*: armed conflict usually causes significant damage to the natural environment (e.g., land mines and unexploded ordnance, scorched earth tactics, and decay of resource management systems). Control of territory and natural resources are among key issues leading to violent conflict.
- *Human rights*: the denial of the human rights to individuals and groups frequently leads to conflict. A rights analysis can help deepening the understanding of conflict and the challenges to the peace process. International human rights legislation can additionally provide a useful framework for guiding recovery objectives, particularly in those more political areas not covered by MDGs or other internationally agreed benchmarks(e.g., international rights-based accords).
- *Security*: while sometimes treated as a sector (as in the Preliminary Needs Assessment for Afghanistan), security has many dimensions that impact the political, social and economic spheres of post-conflict countries, which suggest it should be treated as a cross-cutting theme. This would include issues such as the governance aspects of stabilizing or controlling the security sector,

economic impacts of insecurity and violence, and the social consequences of violence and community action (e.g., community policing, demining).

⇒ Chapter 4.1 and 4.2: Steps 8 and 13

### **3.10 Paying Attention to Institutional Capacity Building**

PCNAs face the dilemma of initiating the flow of unprecedented levels of external assistance into post-conflict countries, whose institutional capacities have decayed over long periods. Most post-conflict countries face severe institutional capacity constraints (e.g., in terms of human resources, managerial skills, monitoring and evaluation systems) that limit their ability to rapidly implement needed interventions. Such constraints are often described as limited ‘absorptive capacity.’ It is important to note that insufficient absorptive capacity is distinct from poor governance since even well governed countries may not have the ability to immediately make productive use of increased resources.

To be able to address these shortcomings, an analysis of national implementing capacities and an assessment of capacity building needs should be mainstreamed across all sectors of the needs assessment. To avoid providing capacity building assistance to specific factions only, particularly those supporting conflict, institutions and their staff should be assessed for their political orientation and role in the conflict.

Although critical absorptive capacity constraints can only be addressed and resolved through a long-term approach to institutional strengthening, efforts should be initiated during the recovery phase to build capacity. Concretely, countries must be encouraged to and assisted in developing mid- to long-term plans for scaling up human resources; improving the management skills of administrative staff; and strengthening mechanisms of financial control and reporting. Specific attention should be given to capacities that can promote non-violent conflict resolution.

Institutional capacity assessment should also pay attention to the risks of a brain drain of qualified, but underpaid public servants toward international agencies and NGOs establishing themselves in the country. Possible distortions to national salary scales by international agencies and NGOs and the subsequent loss of high-level personnel need to be considered when preparing strategies for strengthening national institutional capacities.

Step 8 contains a brief checklist for conflict-sensitive institutional assessment.

⇒ Chapter 4.1: Step 8

## **4. MANAGING THE PCNA PROCESS**

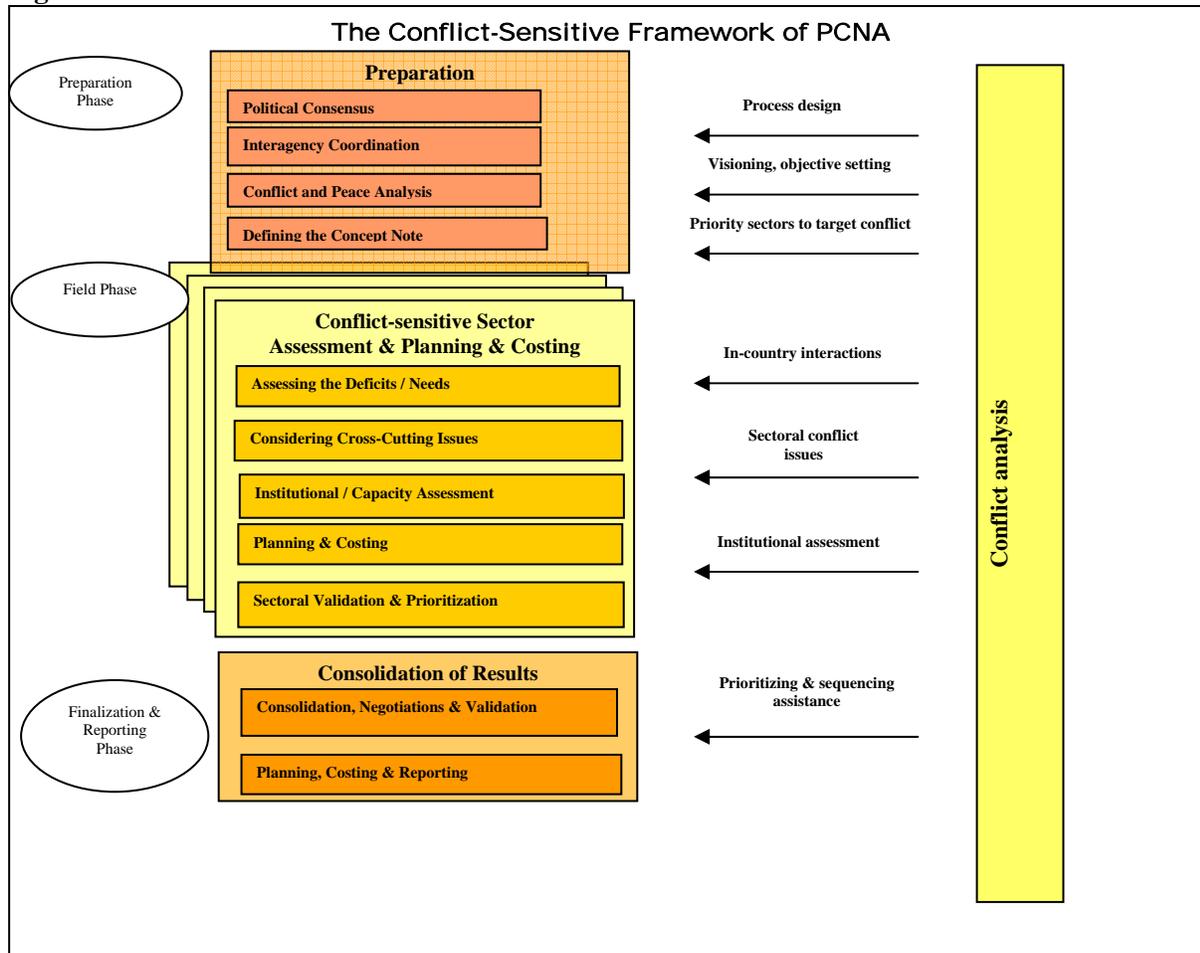
Chapter 4 summarizes the main steps, which have become good practice in a PCNA. In addition, it offers a range of tools, such as sample job descriptions, terms of reference (ToRs), workshop and report outlines and costing tools, which support the implementation of the respective steps. The Chapter contains a relatively brief description of the main elements of PCNAs, while the respective tools are included in the Annexes to the guide (listed in Annex 1). Annex 1 includes an overview of the steps and respective tools listed in Chapter 4.

### **4.1 Preparatory Phase**

The preparatory phase of a PCNA begins with the initial talks between donors, the UNCT and national authorities or parties to the conflict on the possibility of holding an international donor conference and ends with the arrival of the PCNA mission in the country. In this period, the multilateral agencies (World Bank Country Teams; UNDGO; and UNDP Bureau for Crisis Prevention and Recovery, BCPR) play a lead role in facilitating the political process between national authorities and donors, establishing consultation and coordination mechanisms between donors, the UN system and civil society at

headquarters level and in the field, and setting up the PCNA mission. Figure 3 illustrates the methodology and process of the PCNA structured in four phases:

**Figure 3:** The Conflict-Sensitive Framework of a PCNA



Key achievements of the preparatory phase are:

- Decision taken by a core group of donors together with national authorities/parties to the peace process to hold an international donor conference and conduct a preparatory PCNA;
- Structures established for steering and coordinating the PCNA at headquarters and country level (core coordination group, donor liaison group, UN technical working group, interagency coordination group, joint steering committee by the conflict parties);
- Consensus on purpose and scope of PCNA, agreement on vision for post-conflict recovery, selection of priority sectors and cross-cutting issues informed by conflict analysis; and
- Operational structures established for carrying out in-country work on the PCNA (PCNA Secretariat, establishment of PCNA mission, concept note, terms of reference).

In this sense, the preparatory phase can be structured into three sets of activities, which in practice may take place in parallel:

1. *Establishment of decision-making, consultation and co-ordination mechanisms for the PCNA (steps 1-4):* There is so far no standardized process for initiating a PCNA (step 1). After the decision for an

international donor conference is taken, the Core Co-ordination Group (step 2) has to be established, which consists of national authorities, core donors and the UN lead agencies, and is the principal decision-making body of the PCNA. A broader range of donors is involved via the Donor Liaison Group (step 2), while the UN system co-ordinates its activities via the UNDG-facilitated Technical Working Group (step 3). At field level, the Interagency Working Group (step 3) secures the input and information of national authorities, conflict parties, UN agencies and major NGOs. In some cases, the conflict parties are able to establish a joint steering committee to guide and engage with the PCNA process (step 3). This stage concludes with the appointment of the PCNA co-coordinator, the setting up of the PCNA secretariat (step 4) and the agreement of the PCNA schedule (step 5).

2. *Preparatory work on purpose, content and process of the PCNA (steps 6-9)*: Based on conflict analysis led by the PCNA secretariat (step 6), donors, multilateral agencies and national authorities/conflict parties build consensus on an overall vision for post-conflict recovery, which will guide the PCNA (step 7). This allows the multilateral agencies to define the overall methodology of the PCNA and propose priority sectors and cross-cutting issues to consider in the PCNA (step 8). The agreements on purpose, scope, content and methodology of the PCNA are documented in the Concept Note (step 9) which has a binding character for all participants and provides the framework for in-country work.
3. *Establishment of operational structures for in-country PCNA (steps 10-11)*: Key activities include recruiting and tasking the PCNA mission (step 10) and preparing the mission logistics in the country (step 11).

#### ↳ **Step 1: Initiative for PCNA**

There is still no standardized process for initiating a PCNA. For this reason, the initial steps toward a PCNA are very context specific. There are four main possibilities:

- The national authorities/conflict parties launch the idea of an international donor conference and invite the multilateral agencies to carry out a PCNA. This is most likely in Type A situations with strong national capacities.
- The UNCT accompanies an ongoing peace process and recommends a more concerted engagement to the international community.
- A group of core donors, possibly with close links to the country, wishes to strengthen an ongoing peace process and proposes an international donor conference.
- An (international) occupying power seeks international donor assistance to rapidly stabilize the country.

Nevertheless, clear agreement between the national authorities, core donors and the multilateral agencies on the purpose and modalities of the PCNA should be sought and documented in the form of a Memorandum of Understanding.

#### ↳ **Step 2: Political Consensus on Objectives and Scope of the PCNA**

##### **Political Steering Mechanism**

The PCNA process requires substantive guidance to produce a compelling recovery strategy which is owned by national stakeholders as well as the international community. The mechanism put in place for leading the PCNA on substantive and political issues strongly depends on the national capacities in place (see Types A/B in Chapter 2.4). Wherever possible, active participation by the national authorities and/or conflict parties should be sought.

Where there is sufficient national capacity, a **Core Coordination Group** should be established. It brings together senior representatives of the national authorities, the conflict parties, UNDG and UNDP, the World Bank, core donors, and possibly regional political bodies. The Core Coordination Group is the

principal decision-making body of the PCNA and deals with issues of timing, purpose, scope of work, and involvement of national stakeholders.

### **Donor Involvement**

From the very beginning of the PCNA process, it is important to involve donors as they are later expected to make available funds for the implementation of its recommendations. Where a large number of potential donors is involved, it has proved practical to distinguish between a Core Group of donors steering the PCNA together with the national authorities and a Liaison Group of donors which is periodically informed about the progress of the PCNA and consulted on its set-up and key recommendations.

### **Donor Core Group**

The main function of the **Donor Core Group** is that of a steering committee as well as being the sponsor and host of the international donor conference. The Donor Core Group discusses substantive issues emerging from the PCNA and prepares the donor conference. Throughout the PCNA, the Donor Core Group holds weekly (tele-conference) meetings, whose minutes are shared with the UNDG Technical Working Group overseeing the PCNA process.

### **Donor Liaison Group**

The Donor Liaison Group is largely a virtual entity for information exchange. Its members may include UN member states, regional development banks, UN organizations and civil society organizations. The principal medium of information exchange between them is the UNDG website, which shares information on upcoming conferences, status reports and sectoral reports of the PCNA. It also provides space for member's own information sharing and feedback on working documents. The Liaison Group holds a face-to-face meeting during the preparatory phase to provide input on the purpose and methodology of the PCNA and convenes to discuss the preliminary results of the PCNA prior to the drafting of the final report.

⇒ **Annex 2: Outline Preparatory Meeting**

⇒ **Annex 3: TOR Donor Core Group**

⇒ **Annex 4: TOR Donor Liaison Group**

### **↳ Step 3: Interagency Coordination**

Since PCNAs involve a multisectoral analysis and must involve the technical capacity and insight of the different specialized UN agencies, bilateral donors and NGO involvement and coordination between them is of utmost importance and has to be secured from the start of the PCNA process. The UNCT is coordinated by the UN Resident Coordinator. UNCT is key to provide political guidance and to manage the preparation and political consensus building process on the scope and objectives of the needs assessment.

At headquarters, UN System coordination is achieved through specific technical working groups set-up and chaired by UNDG and the World Bank. Their purpose is to provide technical support to the UNCT in the preparation and later the implementation of the joint PCNA. They also play a vital role in the liaison and coordination with major donors as they participate in the core donor groups. They become key to political consensus building at headquarters level within the UN system but also with major donors.

Interagency coordination with bilateral donors, NGOs and civil society organizations and of course also with national authorities and/or conflict parties is provided through Interagency Working Groups in the Countries. Those are important to discuss the scope of the PCNA and as a platform to improve multi-agency participation in the PCNA Teams.

- ⇒ **Annex 5: TOR Technical Working Group**
- ⇒ **Annex 6: TOR Interagency Working Group**
- ⇒ **Annex 7: TOR UNCT / Multilateral Group**

#### ↳ **Step 4: Establishment of the PCNA Coordinator Unit**

Depending on the institutional capacity and conflict situation of the country (e.g., Type A or B conflict situation) it is important to stress that the PCNA process itself should ideally be managed and steered by representatives of the country (e.g., the national authorities and/or the former conflict parties). This implies different roles in technical and political leadership by the UN/WB PCNA-team and a capacity to adapt, when necessary, the underlying guidelines.

In order to support and manage the technical aspects of the needs assessment process and support the UNCT in the political negotiation process with the national authorities, the conflict parties, the donor agencies and the NGOs, UNDG appoints a **PCNA Coordinator(s)** and a **PCNA Secretariat**.

The major roles of the PCNA Coordinator and the PCNA Secretariat are the definition of the scope of the PCNA, the methodological approach, the TORs of the PCNA team members, the time frame and the necessary logistics for the PCNA. This is done in close coordination with the national authorities and/or conflict parties as well as the UNCT.

The role of the **PCNA Coordinator** is to steer the overall technical process of the PCNA, lead the PCNA-Team and facilitate the report writing and the final prioritization of activities. This includes technical support to the political negotiations before, during and after the PCNA in the country and at headquarters. The responsibilities of the coordinator include the necessary technical guidance notes, cluster TORs, and methodological background papers (e.g., planning frameworks, costing sheets and guidelines, basic scenarios and data). The PCNA coordinator will be appointed by the technical working group in consultation with UN-system institutions and the relevant donors. The coordinator is supported by the secretariat.

Depending on the size of the needs assessment mission the PCNA **Secretariat** needs sufficient staff at headquarters and within the country in order to provide logistical and liaison capacity. The required personnel consists of at least two experienced full-time persons.

- ⇒ **Annex 8: TOR PCNA Coordinator**
- ⇒ **Annex 9: TOR PCNA Secretariat**
- ⇒ **Annex 10: PCNA Organization Charts (Sudan example)**

#### ↳ **Step 5: Defining Time Requirements**

Time planning and management is crucial to achieve both analytically sound results, as well as participation and buy in by the national authorities, conflict parties, donors and NGOs. There is a trade off between the political pressure on the PCNA to provide analysis and results, and the need to prepare data, organize the field mission and allow the opportunity for stakeholders to participate. The “window of political opportunity” to achieve political consensus on reconstruction, foster peace and convince donors to strongly support the peace and transition process, is usually very narrow, generally around 2-4 months. Despite these time pressures, a sound PCNA requires a minimum amount of time for each of its main phases, as presented below:

Phase	Main Activities	Time
Political/Technical Preparation	<ul style="list-style-type: none"> <li>▪ Generate donor support</li> <li>▪ Develop vision for post-conflict recovery</li> <li>▪ Generate consensus on scope/objectives</li> <li>▪ Pre-assessment conflict analysis</li> <li>▪ Elaborate TORs</li> <li>▪ Identify Team Members</li> <li>▪ Logistical/Financial set-up</li> </ul>	8 weeks
Field Mission	<ul style="list-style-type: none"> <li>▪ Start-up mission of the PCNA Coordinator and Secretariat</li> <li>▪ Capacity and team building workshop</li> <li>▪ Adaptation of cluster TORs</li> <li>▪ Field Assessment</li> <li>▪ Sectoral reports and planning frameworks</li> <li>▪ Debriefing</li> </ul>	6 weeks
Consolidation	<ul style="list-style-type: none"> <li>▪ Report and RBPF writing</li> <li>▪ Consultation</li> <li>▪ Translation and circulation of documents</li> <li>▪ Preparation of Reconstruction Conference (Donor Meeting)</li> <li>▪ Debriefing</li> </ul>	4-6 weeks

Hence, the minimum time requirement of a PCNA is generally around 18-20 weeks. Certainly the time required will depend on the data and material available, assessments already done in some sectors (e.g., CAP, bilateral assessments, NGO documents, and assessments under watching briefs). It is important that the time schedule for the PCNA process is made clear and transparent to all stakeholders participating in it, especially in the country itself.

### 🔗 Step 6: Conflict Analysis

#### Purpose of Conflict Analysis

An analysis of the past conflict and current peace process provides essential information for:

- Designing and conducting a PCNA in a conflict-sensitive manner that maximizes its positive contribution to the ongoing peace process and avoids doing harm; and
- Focusing the PCNA on the key factors determining security and stability in the country and thus creating the enabling conditions for long-term peaceful development.

Conflict analysis should ideally already be part of the Watching Brief process with which World Bank and UN accompany the country throughout the conflict. Where this analysis exists, it should be actualized and possibly deepened at this point.

All participants in the conflict analysis should be aware that this is a highly sensitive issue. Therefore, much care is needed to develop an inclusive perspective and avoid antagonizing the parties to the peace process.

#### Responsibility for Conflict Analysis

The coordination unit appoints a conflict specialist (Annex 11: TORs Conflict Specialist) to accompany and support the PCNA mission.<sup>2</sup> S/he facilitates the process of conflict analysis and supports the PCNA mission in thinking about the conflict and integrating a conflict lens throughout the process. The overall

<sup>2</sup> In some situations, it may be possible to appoint an additional country expert or form an advisory group of country specialists to support the process of conflict analysis, particularly on regional or sector-specific issues.

responsibility for conflict analysis, however, lies with the PCNA coordination unit, while the conflict advisor provides technical support. The aim is to achieve an analytical process where conflict issues are discussed and then integrated into the various stages of the needs assessment.

During the preparatory phase, the conflict advisor facilitates the preparation of an initial conflict analysis (Annex 12: Tools for Conflict Analysis) based on a desk study, expert interviews and initial talks with the various parties to the conflict. S/he presents this analysis as a draft discussion paper to the Core Co-ordination Group, the Donor Core Group, the Interagency Working Group and the Technical Working Group on Post-Conflict Reconstruction for comment. It is recommended to convene a workshop with representatives of the national authorities and the steering and co-ordination groups at headquarters level to discuss the consequences of the conflict analysis on the overall process and sectoral work of the PCNA. The results of these discussions and particularly the joint conclusions regarding the PCNA should be documented in a briefing paper (Annex 13: Outline Briefing Paper), which can provide a point of reference throughout the needs assessment.

During the inception workshop at the beginning of the field phase, the conflict analysis is presented to and discussed with the members of the PCNA mission. Thereby, all mission members should gain an understanding of the key conflict issues and the challenges to the peace process and should be able to relate them to their own areas of work.

The conflict specialist facilitates the further refinement of the conflict analysis during the field phase, which s/he then feeds into the consolidation workshop as a basis for fine-tuning the overall needs assessment. Cluster managers need to demonstrate the inclusion of conflict into sectoral assessments.

#### **Expected Results of Conflict Analysis**

Conflict analysis provides information on:

- the history of the conflict and important background factors (e.g., regional aspects);
- the key factors contributing to conflict and peace (root causes and escalating/de-escalating factors);
- the main actors of the conflict, their interests, positions and capacities;
- the security situation and its implications for the PCNA; and
- trends in the peace process and future scenarios.

A briefing paper summarizes the main results of the conflict analysis.

- ⇒ **Annex 11: TOR Conflict Advisor**
- ⇒ **Annex 12: Tools for Conflict Analysis**
- ⇒ **Annex 13: Outline Briefing Paper on Conflict Situation**

#### **↳ Step 7: Vision for Post-Conflict Recovery**

An overall vision for post-conflict recovery can make post-conflict recovery assistance more coherent and effective by focusing it on a small number of key objectives. This vision should be negotiated between the national authorities/conflict parties and the international community and take account of local realities. For this, it should be based on an in-depth understanding of the conflict and current peace process. The visioning process itself can facilitate joint priority setting and decision-making between the conflict parties. The PCNA then examines only those sectors and issues which are directly related to achieving this vision.

In the process of the PCNA, the visioning exercise builds on the previous conflict analysis, which outlines the main parameters for post-conflict recovery and highlights critical issues. This can provide the basis for creative exercises and negotiations between national partners and international agencies on what should and can be achieved in the country within a medium-term timeframe. The initial vision and key objectives of post-conflict recovery are stated in the concept note (see step 8) and provide the basis for subsequent

selection of priority sectors, identification of key conflict issues, definition of targets and development of assistance strategies.

As analysis deepens and national capacities sometimes grow in the course of a PCNA, it may be necessary to further develop and refine the recovery vision toward the end of the assessment. As far as possible, it should be validated with different stakeholder groups together with the sectoral assessments.

The final vision and overall purpose of the PCNA is expressed in the planning framework (e.g., the RBPF) which is the final product of the consolidation phase with intensive political discussions and priority setting based on a participatory process.

### **↳ Step 8: Selecting Priority Sectors and Cross-Cutting Issues**

#### **Sectors as Organizing Principle of the PCNA**

PCNAs are typically organized around sectors or thematic clusters whose selection has been informed by conflict analysis. This means that specialized teams assess recovery assistance needs by sectors, which are then collated and prioritized in the final needs assessment document. Typical sectors include macroeconomic policy, infrastructure, private sector, education, and health.

This procedure has a number of practical advantages:

- The sectoral structure reflects the organization of UN agencies with specific sectoral competencies;
- Mission members can be organized in small teams according to their individual expertise; and
- Needs assessment sectors may be aligned to national ministries or budget lines, which later facilitates the attribution of responsibilities and funds.

On the other hand, post-conflict situations present complex problems, which need coherent multi-dimensional responses. For this reason, it is important to recognize the inter-linkages between sectors and develop cross-sectoral approaches to key issues.

#### **Cross-Cutting Issues**

Cross-cutting issues are considered of overriding importance for post-conflict recovery and therefore need to be dealt with in each sectoral needs assessment. Gender, environment, human rights and institutional capacity are among the most frequent cross-cutting issues, as well as HIV/AIDS in some contexts. Responsibility for selecting priority sectors and cross-cutting issues

The identification and selection of priority sectors and cross-cutting issues for post-conflict recovery assistance requires a complex negotiation process, which should be inclusive of all major stakeholders.

Based on inputs from the UN Country Team and consultations with donors and other agencies (e.g. Donor Core Group, Interagency Working Group), the UN agencies organized in the Technical Working Group on Post-conflict Reconstruction develop a technical proposal of priority sectors and cross-cutting issues to consider in the PCNA. Actual preparatory work on sector selection should be led by the designated PCNA co-coordinator and his/her team.

This proposal has to be submitted for approval to the Core Coordination Group, which includes the PCNA lead agencies and national authorities.

#### **Selecting Priority Sectors and Cross-Cutting Issues**

Given the limited availability of donor funding, PCNAs cannot be comprehensive; instead, they have to focus on those areas that are key to supporting a fragile peace process and creating the conditions for peaceful development. In this sense, only those sectors and cross-cutting issues can be considered that directly contribute to achieving the specific recovery objectives agreed between the lead agencies and national representatives (see Step 7).

### **Which Priority Sectors Should be Considered for the PCNA?**

In the light of past experience, the following sectors have proved particularly important in stabilizing post-conflict countries and creating the conditions for peaceful development:

- *Political reforms* to return the country to democratic rule (e.g., plans for local/national elections, strengthening parliament, and establishing an independent judiciary).
- *Transitional justice* and reconciliation programs (e.g., plans for a truth and reconciliation commission, community justice programs, war crimes tribunal, respect for human rights, and measures to resolve land disputes).
- *Security sector reform*, (e.g., integrating rebels into the national army, establishing a civilian police force, ensuring accountability of security forces, and arms collection and control).
- Promotion of productive activity and *re-establishment of a legitimate market economy*, (e.g., opening up regions cut off by conflict, helping to establish markets, export promotion, agricultural extension schemes, vocational training, and de-mining of roads).
- Reconstruction of *basic infrastructure* and restoration of *basic services*, including *food security with a focus on providing adequate standards of living and reducing social exclusion*.
- Promotion of *national dialogue*, peace building and reconciliation (e.g., establishment of a reconciliation commission mandated to manage this process, civic education programs, and establishing an independent human rights commission).
- In countries where there are large numbers of *IDPs/refugees*, voluntary repatriation and reintegration, numbers and status of individuals affected, provisions and emergency services to camps, resettlement plans.
- Building national institutional capacities.

### **Which Cross-Cutting Issues Should be Considered?**

Typical cross-cutting issues include:

- *Gender*: Modern civil wars primarily target the civilian population, the majority of which are women and children. Women and children also suffer from violent conflict in particular ways (e.g., female-headed households, rape, child soldiers, trauma) and have specific needs during the post-conflict recovery process. On the other hand, women and children can contribute their unique skills and capacities to the peace process.
- *Environment*: Armed conflict usually creates significant damages to the natural environment (e.g. land mines and ammunition, scorched earth tactics, decay of resource management systems). Control of territory and natural resources belong to the key issues leading to violent conflict.
- *Human rights*: The denial of the human rights to individuals and groups frequently leads to conflict. A rights analysis can help deepening the understanding of conflict and the challenges to the peace process. International human rights legislation can additionally provide a useful framework for guiding recovery objectives, particularly in those more political areas not covered by MDGs or other internationally agreed benchmarks.
- *Institutional capacity*: Support to national institutions is a precondition for sustainable recovery. Institutional capacities therefore need to be assessed within each sector and capacity building needs be factored into overall recovery costs.

### **How to Address Cross-Cutting Issues?**

Overall responsibility for integrating cross-cutting perspectives into sectoral assessments rests with the cluster managers. In this, they are supported by cross-cutting advisors, which may be recruited from specialized UN agencies, donors or civil society and accompany the PCNA mission.

The following instruments can support sector teams in considering cross-cutting issues:

- Providing sector teams with clear and detailed questionnaires on cross-cutting issues;
- Reviewing sectoral TOR as to their inclusion of cross-cutting issues;
- Cross-cutting issue meetings with cross-cutting advisors and managers of relevant cluster teams; and
- Review quality and status of cross-cutting issues in sectoral assessments at consolidation workshop.

⇒ **Annex 14: TOR Cluster Team**

⇒ **Annex 15: TOR Cross-cutting Advisor**

⇒ **Annex 16: Do No Harm Checklist**

⇒ **Annex 17: Checklists for Institutional Capacity Assessment**

#### ↳ **Step 9: Defining the Concept Note**

The concept note for the PCNA should be defined by the PCNA coordination unit, in line with the results of the conflict analysis and the political negotiation between all key parties. This has to take place in consultation with the political stakeholders of the process including the national authorities and/or conflict parties, the technical working group, the multilateral group/UNCT, the donor liaison group and the interagency working group.

The concept note presents the common understanding and offers guidance to all those who will be involved in conducting the PCNA. It provides a comprehensive definition of the principal purposes, the overall objectives, vision and scope of the PCNA, and the priority sectors and cross-cutting issues identified through the conflict analysis and political negotiations. The concept note also reveals some of the key challenges.

The scope of the PCNA should—if relevant—be linked to the recovery process/phase of the national authorities of the country assessed.<sup>3</sup> It is recommended to sequence the recovery process and to distinguish between immediate recovery needs, medium-term and long-term needs. The respective time horizon of each phase depends on the Type A or B of the post-conflict situation (see Chapter 2) and pre-conditions.

⇒ **Annex 18: Outline concept note**

#### ↳ **Step 10: Team Composition**

The PCNA team is understood as the group of experts who are collecting data and who are analyzing the actual needs situation of the country. They are responsible for the elaboration of sectoral analysis, elaboration of planning frameworks and final technical reports. This is usually done as part of a defined mission to the specific country. The PCNA team is selected by the PCNA coordination unit (coordinator and secretariat) in close coordination with the national authorities, conflict parties and the major donors. The PCNA coordination unit is directly supported by a conflict advisor.

Experience has shown that PCNAs are more effective where there is continuity of both national and international members within the teams who will do detailed program design, and support implementation. In conceptually challenging areas, it may be effective to twine an international expert with a national representative to achieve greater operational impact. Including regional donor representatives or country program managers facilitates decision-making following the PCNA.

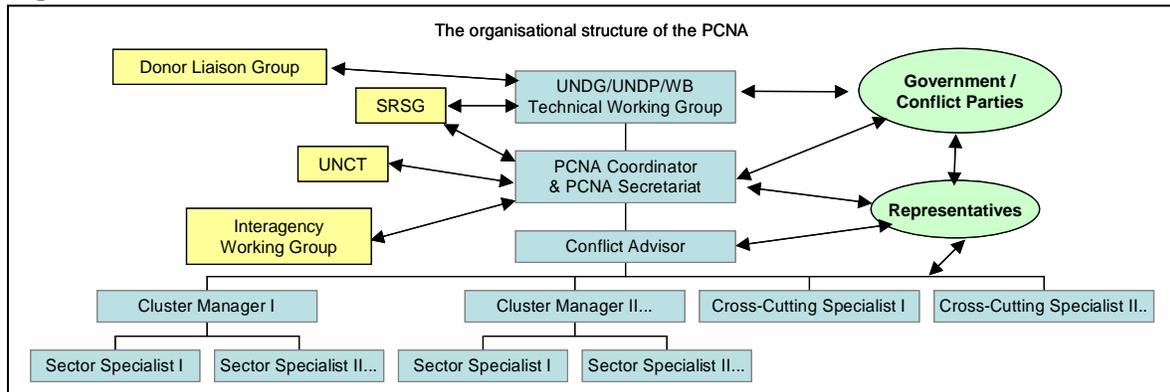
In addition to the PCNA coordinator and the secretariat the UN/World Bank field team consists of the following core members:

- Cluster managers
- Sector specialists (cluster team members)
- Cross-cutting experts

<sup>3</sup> For example the interim government or the next election of the country's government.

- Conflict advisor

**Figure 4: The Structure of PCNA Mission**



Team members are named by UN agencies, the World Bank, conflict parties or bilateral donors. However they are only responsible to the PCNA coordinator and focus their work according to the guidance notes and specific terms of references. They do not represent the interest of their respective organisations. The division of managerial and technical tasks is described below.

### **Conflict Advisor**

The conflict advisor prepares background information on the conflict and drafts a briefing paper based on a joint conflict analysis by the PCNA team. S/he facilitates the deepening of the conflict analysis throughout the PCNA mission, works with cluster managers on integrating conflict into sectoral assessments, and facilitates stakeholder consultation and validation workshops. The conflict advisor also contributes to the consolidation of the final needs assessment. The conflict advisor directly reports to the PCNA coordinator and supports her/him on all conflict-related issues. Good analytical and facilitation skills, and an in-depth knowledge of national realities are prerequisites for this position.

### **Cluster Managers**

Cluster Managers are responsible for the overall implementation and output of the PCNA in the specific sector. Based on the principles of the PCNA and the defined scope, including the adaptation of cluster terms of reference and the elaboration of specific cluster guidance notes, they have to ensure the participation of all major stakeholders and the incorporation of the relevant cross-sectoral and cross-cutting issues. As leaders of multisectoral teams they have to make sure that the principles, methodology and instruments outlined in the “guidance notes” are acknowledged and implemented and that relevant formats are understood and used. Finally task managers are responsible for the edition of the sectoral reports and planning frameworks including cost estimates and their validation through stakeholder consultation.

### **Sector Specialists**

Sector specialists are usually seconded by UN Agencies, World Bank and donors. In some cases, however, they might include counterparts from the national authorities and/or former conflict parties and NGOs.

Team members are responsible for carrying out the analysis of their part of the cluster TORs and the specific cluster guidance notes. They are guided by the overall cluster manager. Since they are responsible for a large part of the actual analysis it is important that they have good knowledge of the basic principles of the PCNA and the specific guidelines, notes and planning/costing procedures.

### Cross-Cutting Specialist

Cross-cutting specialist have the responsibility to secure the incorporation of their thematic areas (e.g., gender, environment, etc.) in the relevant cluster work. They provide their expertise both to the overall PCNA coordinator as well as to the cluster managers or individual cluster team members. They have to adapt the cross-cutting checklist based on their analysis and discussion with the relevant cluster managers and provide analytical input for the cluster teams. They also should review cluster reports and frameworks to validate the incorporation of cross-cutting issues.

#### ⇒ Annex 19: TOR Cluster Manager

#### ↳ Step 11: Logistics

There are a number of technical and logistical preparations and information needed by the PCNA mission members. Depending on the phase of the PCNA the secretariat is responsible for support of the mission. There will be at least one person responsible to fulfill the logistical tasks in headquarters and within the country.

#### Secretariat

In addition to data and information management, the Secretariat is responsible for the following tasks:

Phase	Tasks	In coordination with
Preparation phase	<ul style="list-style-type: none"> <li>Preparation and distribution of briefing materials to mission members (see Timor Leste example)</li> </ul>	<ul style="list-style-type: none"> <li>PCNA coordinator</li> <li>UNCT</li> <li>Interagency Coordination Group</li> </ul>
	<ul style="list-style-type: none"> <li>Establishing and up dating the Web page of the PCNA</li> </ul>	<ul style="list-style-type: none"> <li>UN country offices, PCNA coordinator, WB-Country Team, UNDP-BCPR, specialist on conflict issues, country offices, country experts, etc.</li> </ul>
	<ul style="list-style-type: none"> <li>Technical and logistical support and preparation of PCNA mission</li> </ul>	
Field phase	<ul style="list-style-type: none"> <li>Updating the Web page</li> </ul>	<ul style="list-style-type: none"> <li>PCNA team</li> </ul>
	<ul style="list-style-type: none"> <li>Workshop management</li> </ul>	<ul style="list-style-type: none"> <li>PCNA coordinator</li> </ul>
	<ul style="list-style-type: none"> <li>Logistical support</li> </ul>	<ul style="list-style-type: none"> <li>PCNA team</li> </ul>
Consolidation and reporting phase	<ul style="list-style-type: none"> <li>Layout and editing of the final report</li> </ul>	<ul style="list-style-type: none"> <li>PCNA coordinator</li> </ul>
	<ul style="list-style-type: none"> <li>Workshop management</li> </ul>	<ul style="list-style-type: none"> <li>PCNA coordinator</li> </ul>
	<ul style="list-style-type: none"> <li>Support planning the donor conference</li> </ul>	<ul style="list-style-type: none"> <li>PCNA coordinator, leading UN-agencies, WB, donors, etc.</li> </ul>
	<ul style="list-style-type: none"> <li>Follow up</li> </ul>	<ul style="list-style-type: none"> <li>PCNA coordinator</li> </ul>

#### ⇒ Annex 20: Outline Logistics Checklist

#### ⇒ Annex 21: Example Logistics Checklist

#### ⇒ Annex 22: Outline Briefing Materials

#### ⇒ Annex 23: Outline of Web Page

### 4.2 Field Phase

The field phase begins with the arrival of the needs assessment mission in the country and ends with the completion of the sectoral needs assessment reports and stakeholders' workshops. The field phase is driven by the PCNA Secretariat which provides regular updates to and consults with the steering and coordination bodies established in the preparatory phase. The focus of this phase is on data collection,

data analysis and consensus building with national stakeholders on sectoral recovery priorities and external assistance needs.

Key achievements of the field phase are:

- Identification of sectoral recovery priorities informed by peace and security objectives and assessment of external assistance needs on a sectoral basis;
- Validation of sectoral recovery priorities and external assistance needs with a range of national stakeholders including national authorities/conflict parties;
- Costing of external assistance needs on a sectoral basis; and
- Sectoral needs assessment reports outlining a sectoral recovery strategy, assistance requirements and a Results-Based Planning Framework (RBPF).

The field phase can be structured into four sets of activities:

1. *Team management*: At the beginning of the field phase, the PCNA team develops a common understanding of the main parameters of the PCNA and its particular tasks. Internal communications, data collection and national consultations are also planned (step 12).
2. *Sectoral needs assessment*: Cluster teams collect data on the respective sectors, develop recovery priorities in view of the overall objectives of the PCNA, and prepare estimates of external assistance needs (step 13).
3. *Validation of sectoral findings*: Sectoral validation workshops are held to gather stakeholder input on needs and recovery priorities and discuss possible strategies to address them (step 14).
4. *Planning and costing recovery*: Based on their findings and consultations, cluster teams develop strategies to address sectoral recovery needs, calculate external assistance requirements and elaborate a results-based framework (steps 15-17).

### **🔗 Step 12: Team Management and Communications**

Professional team management is a key to the success of a PCNA mission, due to:

- the large number of staff from different professional and personal backgrounds involved;
- the complexity of the analytic task in a difficult and hazardous environment; and
- the specific time constraints within the mission.

Therefore, the mission team needs professional management. This will be the role of the task manager, but it is also the responsibility of all members to ensure a high-quality process by following basic rules of cooperation management.

The PCNA Coordinator supported by the Secretariat is responsible for the overall team management. The PCNA coordination unit creates an interactive environment for cross-sectoral exchange, integration of cross-cutting issues, technical guidance, steering and support for the cluster teams.

The establishment of regular feedback mechanisms is a key element of good team management. This involves regular and informal feedback between sector/cluster team members and the respective manager as well as between each sector/cluster manager, the cross-sectoral managers and the PCNA coordinator. A regular meeting schedule needs to be clarified within each team. Additionally, there should be regular weekly meetings with the cluster managers and the PCNA coordinator or weekly status reports from each team to the PCNA coordinator (format in Annex 8). It is recommended that the possible communication structure for the field mission be already developed and communicated to the cluster managers before the first day of the field mission.

Where appropriate, interpretation services should be provided to support the involvement of national PCNA team members within the PCNA mission as well as the involvement of other national stakeholders such as civil society representatives or NGOs.

Several aspects need to be considered to ensure effective team management and communication, especially:

- *Team building and communication:* A key factor of success is the inception workshop at which a common understanding of the mission is developed by all members (cluster managers and cluster team members) involved at the beginning of the field mission phase. The workshop aims to provide mission members with a clear perspective and knowledge of the objective, scope and methodology of the PCNA, a clear understanding of the underlying conflict issues and political sensitivities, as well as with technical aspects of the respective TORs and logistical arrangements. A timetable for meetings and workshops should be developed at the inception workshop.
- *Cross-sectoral and crosscutting communication and exchange:* In principle, each cluster manager or cross-cutting specialist is responsible for defining topics and questions that cut across clusters. Although it is difficult to suggest a blueprint, the following mechanisms have proven to be of help to structure discussions between more than a dozen different clusters or cross-cutting areas:

<b>Mechanisms</b>	<b>Responsible</b>	<b>Characteristics/comments</b>
Full cluster manager and cross cutting meetings	<ul style="list-style-type: none"> <li>• All cluster managers</li> <li>• All cross-cutting specialist</li> <li>• PCNA Coordinator</li> <li>• Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>• Should be regular</li> <li>• Time and place communicated</li> <li>• Clear agenda (e.g., with questions checklist for exchange)</li> <li>• Minutes with agreements and issues to be addressed</li> </ul>
Cross-cutting meetings with cluster managers	<ul style="list-style-type: none"> <li>• Cross-cutting specialist</li> <li>• Relevant cluster managers</li> </ul>	<ul style="list-style-type: none"> <li>• Initial meeting for cross-cutting and all sectors to define relevant clusters and issues (adjust cross cutting checklists and TORs)</li> <li>• Scheduled meeting of cross-cutting and cluster managers by cross-cutting area</li> </ul>
Email system or Web-Page for document exchange	<ul style="list-style-type: none"> <li>• Cluster manager</li> <li>• Cross-cutting specialist</li> <li>• PCNA Coordinator</li> <li>• secretariat</li> </ul>	<ul style="list-style-type: none"> <li>• Managed by the secretariat</li> <li>• All documents channeled through Secretariat to avoid overload</li> </ul>
Final cluster consolidation workshops	<ul style="list-style-type: none"> <li>• Cluster manager</li> <li>• Cross-cutting specialists</li> <li>• PCNA Coordinator</li> </ul>	<ul style="list-style-type: none"> <li>• Presentation of main findings</li> <li>• Presentation of preliminary RBPF</li> <li>• Check with cross-cutting analysis</li> </ul>
Web Page/info board with major cross sectoral relevant information	<ul style="list-style-type: none"> <li>• Cluster manager</li> <li>• Cross-cutting specialists</li> </ul>	<ul style="list-style-type: none"> <li>• Basic data sets for sectoral analysis</li> <li>• Relevant scenarios (security, budgets)</li> </ul>

⇒ **Annex 24: Generic Guidelines and Outline for the Inception Workshop**

⇒ **Annex 25: Outline of Weekly Status Report**

### ↳ **Step 13: Conflict-Sensitive Sectoral Needs Assessment**

#### **Responsibility for Sectoral Needs Assessments**

Sectoral needs assessments are carried out by sector teams consisting of both international and national experts. Sector teams should be multidisciplinary to ensure both a technical and an institutional, as well as a managerial perspective on sectoral issues.

#### **Conflict-Sensitive Sectoral Needs Assessment**

A conflict-sensitive sectoral needs assessment requires an awareness of the linkages between the sector and the challenges of the peace process (“relevance”) as well as of the potential for conflict within the sector.

The conflict analysis prepared in Step 6 provides a good starting point for ascertaining the particular relevance of the sector for peace building. Sector conflict potentials and conflict management options should be assessed by the organization specialists within the sector team.

In a post-conflict situation, it is usually not enough to describe sector targets and expected results in a general manner (e.g., 90% primary school enrolment). To address conflict issues, it may be necessary to specify “90% primary school enrolment among all ethnic groups.” The additional costs of achieving this goal need to be included in the overall calculation.

#### **Main Steps of Sectoral Needs Assessments**

- Identifying sectoral objectives and priorities
- Assessing the status quo (deficit analysis)
- Considering cross-cutting issues
- Assessing national capacities
- Identifying external assistance needs
- Sequencing sectoral priorities and external assistance
- Preparing a results-based framework
- Costing external assistance needs

#### **Methods for Sectoral Needs Assessment**

A sectoral needs assessment should make maximum use of available documentation such as data produced under the UN CAP process and data generated by national authorities, and national and international NGOs. Expert interviews should involve national authorities and representatives of the parties to the peace process at different levels as well as a range of independent observers. Focused primary data collection allows validating received data and filling in clearly-defined information gaps. Consultation workshops with civil society representatives and other sectoral stakeholders should be used to a maximum for data collection, discussion of recovery priorities and validation of initial findings and proposals. These events need to be organized in a conflict-sensitive manner which may require separate meetings for groups which still have not developed sufficient trust to discuss sensitive issues in an open forum. Good preparation of the participants as well as attention to hierarchical, gender and power relations, is also key to the success of such workshops.

#### **Expected Results of Sectoral Needs Assessment**

- A brief report outlining the main elements of a conflict-sensitive sectoral recovery strategy;
- A results-based framework detailing sector targets, expected results and costs; and

Annex 36 provides an example of a sectoral RBPF (unit cost matrix).

⇒ **Annex 26: Tools for Conflict-Sensitive Sectoral Assessment**

⇒ **Annex 27: Example Cross-Cutting Issues Checklists**

⇒ **Annex 28: Unit Cost Matrix**

#### **↳ Step 14: Validation Workshops**

Toward the end of the field phase, the information gathered for each sector or cluster needs to be cross-checked and verified by the team and by involving knowledgeable stakeholders from different sectors of society. This will be done in a one-day validation workshop (Annex 30) to which the team will invite selected representatives of the administration, civil society and the private sector. The interaction in the workshop will allow to complement the view of the team by receiving feedback from the invited group, but it will at the same time create more ownership for the process and results of the PCNA.

⇒ **Annex 29: Generic Guidelines and Outline for Stakeholder Workshops**

↳ **Step 15: Planning Recovery and Reconstruction**

A final step of the sector analysis is to establish a coherent planning document, detailing what should be achieved by each sector within the reconstruction phase and how this can be done. Such a planning framework is best derived by using the results-based approach.

A technical orientation on how to establish a suitable RBPF for a PCNA is given in Annex 31: Guidance Note on Planning and Costing. A spreadsheet template (Annex 32: Results-Based Planning Framework) is provided to support the sector specialists. Resulting from the analysis, current needs and priority areas are expressed in the RBPF as objectives to be achieved, distinguishing between development goals, target outcomes and necessary interventions.

**What is Expected in The Long Run: Development Goals**

Ideally the analysis was guided by internationally accepted standards and development goals that exist for many sectors and topics, such as the MDGs. Corresponding indicators and targets will have to be used to monitor the progress towards these medium- and long-term goals that go beyond the reconstruction phase of the PCNA, but will provide the link to the expected development phase. When defining priorities, it is necessary to go back to the conflict analysis to cross-check the relevance of sectoral propositions

In addition, interventions to address needs should be sequenced according to the main stages of post-conflict recovery as outlined in Chapter 2. This draws donor attention to the respective short term and mid-term needs of the country with regard to type A or B (Chapter 2.4), can enhance the quality of donor commitments, and make the recovery strategy more operational.

**What Needs to be Achieved: Target Outcomes**

For planning (and costing) purposes the needs have to be operationalized. This is best accomplished by using a results-based approach as presented in Annex 32. The identified needs of the priority areas/issues are expressed as outcomes and made specific and operational through corresponding indicators with quantified target. Orientation on indicators is given in Annex 33: Sector Performance Indicator List and Annex:34: Selecting Indicators.

**What Needs to be Done: Interventions and Programs**

To close the assessed gaps i.e., to achieve the planned outcomes, corresponding interventions (outputs) have to be identified. Orientation on suitable interventions and their measurement for MDG-related outcomes are given in Annex 35: List of Interventions for MDGs.

An advantage of the suggested results-based approach is its compatibility with planning methodologies as used by both, the World Bank and the UN system as well as by most of the Regional Development Banks and a number of bilateral agencies (e.g., USAID, CIDA, GTZ). This provides a suitable interface with existing donor procedures that will facilitate the buy-in of donors and the implementation of the interventions.

⇒ **Annex 30: Guidance Note on Planning and Costing**

⇒ **Annex 31: Results-Based Planning Framework**

⇒ **Annex 32: Sector Performance Indicator List**

⇒ **Annex 33: Selecting Indicators**

⇒ **Annex 34: List of Interventions for MDGs**

⇒ **Annex 35: MDG Declaration and Indicators**

⇒ **Annex 29: Unit Cost Matrix**

## ↳ Step 16: Costing Recovery

The rationale and concept of the costing exercise is described in Chapter 3.8. Developing realistic and comprehensive cost estimates presents a number of methodological challenges. The information requirements are substantial and often complex, especially in the social sectors where inputs and outputs are hard to measure. Coordination with the budgetary planning process, often supported by the IMF, is important in order to obtain realistic estimates of government revenues and expected expenditures for capital investments and recurrent costs.

### Guiding Principles of Costing

A number of guiding principles should be followed in costing the recovery needs to maintain consistency across sectors:<sup>4</sup>

#### *Public investments need to form the core funding*

In post-conflict countries most infrastructure investments and social services cannot be privately financed and therefore fall under the responsibility of the national authorities. To meet the objectives of a PCNA, national authorities need to assume responsibility to ensure that the targets are met. Emphasis is therefore on publicly as opposed to privately financed investments or services.

#### *Capital vs. recurrent costs*

Traditionally, public investments in services and infrastructure have focused on capital investments based on the assumption that users should pay for operating costs. In low-income post-conflict countries this approach is often not realistic since users do not have the financial resources required to pay the full operating costs, which in some areas, such as education and health, make up the majority of total resource needs. Partly as a result, infrastructure has fallen into disrepair and the provision of services disrupted. For this reason the full operating costs should be included in the analysis.

#### *Average vs. marginal costs*

Ideally, any bottom-up needs assessment should focus on the marginal cost of providing specific services to the currently unserved population. These marginal costs would be expected to differ from average costs due to a number of factors. In most cases, it is likely that the unserved population will be progressively harder to reach as coverage increases. For example, to reach 100% primary school enrolment will require the construction and operation of schools in remote rural areas, where the unit cost of providing education is likely to be higher than in denser urban and peri-urban settings.

#### *Total vs. incremental costs*

Past PCNAs used the concept of incremental resources for recurrent costs. A more transparent approach is to first calculate the total costs required to meet the targets set for the recovery phase. The resources required to sustain current coverage levels should also be included. The actual incremental requirement of the PCNA is then calculated through a simple financing strategy (see below). Total needs requirements are derived by subtracting available domestic resources (government budget and user fees) as well as other external support (e.g., humanitarian aid) from the total cost outlay.

#### *Financial vs. economic costs*

The needs assessment should be based on financial cost estimates that focus on cash flow requirements without discounting or annualizing future expenditures. In contrast, economic cost estimates assess the full cost of providing interventions, including non-cash components, such as the opportunity cost of time. The preference for the financial cost approach is based on the short-term horizon and the focus on estimating total outlays required for meeting assessed needs.

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<sup>4</sup> Adapted from Sachs et al. (2004).

### *Disaggregating between urban and rural populations*

Urban areas often require interventions and technologies that are distinct from those applicable in rural areas. In addition, the resources required for delivering these interventions can vary between urban and rural areas due to two competing trends. On the one hand, urban areas offer economies of scale due to their larger populations and densities, with lower per capita costs. At the same time, however, salaries and other operating costs tend to be higher in urban areas, even though in cases such as health and education, professionals may need to be paid higher salaries to be prepared to move to rural areas. The net effect of these competing trends on the relative cost of delivering interventions in urban and rural populations may be difficult to predict. To the extent possible and where applicable, the costing should therefore be disaggregated for urban and rural areas.

### *Factoring in insecurity*

Security factors that need to be considered include:

- Wage and price distortions due to the impact of war economies on interventions, e.g., highly profitable drug cultivation in Afghanistan which affects prospects for legal agricultural development;
- Additional security costs to protect staff and installations;
- Consideration of insecure no-go areas (e.g., ongoing conflict, ethnic tensions and land mines) for international and local staff and population; and
- Delays in implementation through extended political negotiation and decision-making processes.

### **Estimating Resource Requirements**

Through the results-based planning approach each sector has identified all interventions necessary to achieve the set objectives of the recovery phase. Since the interventions are quantified by indicators (expected outputs), it is relatively straightforward to assign a price tag for each intervention either by using unit costs or by estimating the costs of executing planned programs.

To allow an effective donor pledging and to support national budgeting, the financial requirements need to be disaggregated into capital and (total) operating costs, as well as technical assistance requirements.

The template in Annex 32: Results-Based Planning Framework provides corresponding fields to enter the intervention costs.

### **Developing a Financial Strategy**

To meet the calculated resource requirements in a highly simplified approach, three sources of funding should be distinguished: (i) out-of-pocket expenditures by households; (ii) domestic government resources; and (iii) external financing such as already committed CAP assistance or the Food for Oil program in the case of Iraq.

The actual total financial requirement to be requested by the donors to finance the recovery phase for the given sectors is then calculated by subtracting already existing funds (adding i-iii) from the gross total financing needs for the sector as computed for all the planned interventions.

To facilitate this process the spreadsheet template in Annex 32 provides the necessary fields and formulas. The use of the template for calculating the costs is given in Annex 31: Guidance Note on Planning and Costing.

It is recognized that multilateral and bilateral donors incur substantial costs to manage their aid disbursements and to provide advice and technical cooperation to recipient countries. These costs are so far not included in the financing estimates and should be added by the donor when pledging to finance certain interventions.

### Links to Public Finances

There is a two-way link between the costing exercise and the government's budget. While the budget will inform the sector teams about existing financial allocations, the estimated financial resource requirements will be an important input to prepare the budget.

Some estimated costs for identified priority interventions and programs, such as primary education, impact directly on budgets through staffing and other recurrent requirements. It is particularly important for countries with weak public administrations to obtain broad estimates of incremental resource requirements for service delivery. The estimates therefore should include indicative costing for public staffing.

⇒ **Annex 30: Guidance Note on Planning and Costing**

⇒ **Annex 31: Results-Based Planning Framework**

#### ↳ **Step 17: Sectoral Reporting and Planning**

The Sector Manager produces the final cluster reports including the financial tables, the sectoral results-based planning framework together with the respective sector specialists and cross-cutting specialists. The cluster reports have to be communicated by the Secretariat to the other PCNA members who will take part in the consolidation workshop. The reports should be sent at least one week in advance of the workshop.

⇒ **Annex 30: Guidance Note on Planning and Costing**

⇒ **Annex 31: Results-Based Planning Framework**

⇒ **Annex 36: Outline of the Cluster/Sector Reports**

### 4.3 Consolidation and Reporting Phase

The consolidation and reporting phase of the PCNA begins with the PCNA secretariat receiving the sectoral needs assessment reports and ends with the submission of the PCNA final report to donors prior to the international donor conference. The objective of this phase is to ensure the overall quality and relevance of the PCNA report and to build agreement on its main recommendations between donors, national authorities and the UN system. This phase is critical to prepare donors for the upcoming conference.

Key achievements of the consolidation and reporting phase are:

- Development and costing of a coherent post-conflict recovery strategy based on sectoral needs assessments;
- Consensus between major stakeholders on key elements of the recovery strategy and external assistance requirements; and
- Clearance and circulation of the final PCNA report.

The consolidation and reporting phase contains three major sets of activities:

1. *Consolidation of sectoral findings and development of an overall recovery strategy:* A consolidation workshop is organized to review sectoral assessment findings for their overall quality and relation to the post-conflict country vision. Prioritization between sectors may be necessary to enhance the coherence of the overall recovery strategy (step 18).
2. *Validation of overall recovery strategy and external assistance requirements with national authorities/conflict parties and donors/civil society:* Separate consultation meetings are organized with national authorities/conflict parties and donors (possibly including civil society) to agree on the proposed recovery strategy and key recommendations of the final PCNA (steps 19 and 20).
3. *Drafting of final PCNA report:* The drafting team prepares the PCNA report including the country's post-conflict recovery objectives and strategy as well as a break-down of external assistance

requirements (step 21). The report is circulated to donors at least two weeks ahead of the donor conference.

### ↳ **Step 18: Consolidation Workshop for PCNA Mission**

After the field phase has been completed, the cluster manager will meet with the conflict and cross-cutting specialists and the assigned reporting team (PCNA Coordinator and Secretariat) in a consolidation workshop (Annex 37) in order to consolidate the results. This internal workshop is crucial for the development of the PCNA report, because it will:

- Inform the core PCNA mission team of the results in each sector and allow it to question and cross-check the sector analyzes;
- Review the cross-sectoral issues;
- Check the validity and relevance of the sectoral results with regard to the conflict analysis; and
- Establish the basis for the final report.

It is thus a final analytical step as well as the major quality check of the team results. Tools for conflict-sensitive consolidation and quality check for the overall needs assessment are provided in Annex 38.

The workshop should be moderated by the conflict specialist in order to safeguard that the sector analyses, as well as the overall PCNA report, address the root causes and conflict-related issues.

The outcome of the consolidation workshop will be the draft of the consolidated results-based framework for the recovery process of the post-conflict country.

⇒ **Annex 37: Generic Guidelines and Outline for the Consolidation Workshop for PCNA Mission**

⇒ **Annex 38: Tools for Conflict-Sensitive Consolidation and Quality-Check of the Overall Needs Assessment**

### ↳ **Step 19: Validation with National Authorities/Conflict Parties**

Once the key results of the PCNA field phase have been collated and reflected in the consolidation workshop, the national authorities and/or conflict parties also need to be involved in feedback and validation. This is necessary as much for reasons of cross-checking and validation as it is for safeguarding ownership of the PCNA process and results. In contrast to previous methodologies, this conflict party validation will not take place in a formal workshop setting but rather informally in a confidential and "closed shop" setting. The task manager, the conflict advisor and potentially two or three key sector managers will approach the respective parties in a meeting, give an oral briefing of the objective, process and key results of the field phase, and obtain the reactions and comments from the parties. The team will then give a short reaction, indicating consensus as well as potentially diverging opinions and outline the further process. It is advisable to summarize the meeting, especially the feedback obtained, in a short memo and circulate it back to the discussion partners.

⇒ **Annex 39: Validation Workshop Outline**

### ↳ **Step 20: Donor/NGO/Civil Society Validation Meetings**

The consolidated results of the needs assessment should be presented to donors prior to the donor conference. Although they have participated throughout the PCNA process (e.g., interagency working group, donor liaison group, and PCNA workshops), it is important to incorporate their opinions and perspectives to improve the likelihood of donor funding for the recovery process.

In addition, it may be appropriate to present and discuss findings within a larger civil society setting for validation and to gain ownership of the results.

⇒ **Annex 40: Outline Validation Workshop**

### ↳ **Step 21: Final Report**

The drafting team produces the final PCNA report including financial tables. Depending on the previous consultation process, it may be necessary to submit the draft report to national authorities. The PCNA report should be ready for distribution four weeks before the donor conference.

⇒ **Annex 41: Proposed Drafting Schedule for Final PCNA Report**

⇒ **Annex 42: Outline for the Final PCNA Report**

### **4.4 Stock-Taking and Lessons Learned Phase**

After completion of the PCNA, a stock-taking exercise (step 22) allows for a review of the process and content of the PCNA, and to draw lessons for future work. It aims at gathering different perspectives on the PCNA and developing more effective mechanisms to respond to its particular challenges. The stock-taking exercise is led by the PCNA Secretariat (or the standing body within the UN system dealing with the PCNA) and should involve the PCNA co-coordinator, cluster managers, donors, national authorities, UN system and civil society representatives.

### ↳ **Step 22: Evaluation and Lessons Learned**

After the PCNA has formally ended, the major insights and lessons learned need to be reflected and documented in order to continuously improve PCNA processes, methodology and standards. This stock-taking phase encompasses three major steps involving different actors:

- First, all mission members would fill out a debriefing questionnaire (Annex 44) in order to receive comprehensive feedback on process and method. The PCNA Secretariat will be responsible for distributing and receiving these questionnaires.
- Second, a short workshop would be carried out with the key actors involved in the PCNA process in order to reflect on its overall design, results, achievements and shortcomings, in light of their experiences as well as the feedback obtained from mission members. Critical issues can be openly addressed and reflected, leading to proposals for improvement of process or methodology.
- The final step is a formal lessons learnt report by the PCNA Coordinator and Secretariat (Annex 45), drawing upon the written feedback as well as the workshop, and outlining the key insights for future PCNAs.

⇒ **Annex 43: Debriefing Questionnaire**

⇒ **Annex 44: Generic Guidelines and Outline for Debriefing Workshop and Report**

## **5. OPERATIONAL ISSUES**

### **5.1 Capacity Requirements for Conducting the PCNA**

As the previous chapters have shown, PCNAs require substantial professional know-how in order to reach their objectives within the usually very limited time available and under challenging political and security-related circumstances. It is therefore imperative that institutions responsible for their implementation have adequate capacity, especially since the decision and initiative to prepare a PCNA usually comes at short notice.

There are several areas which could be considered in order to further improve capacity for conducting PCNAs.

At the headquarters level of the agencies involved, i.e., UNDG/UNDP and the World Bank, a unit responsible for preparing, supporting and evaluating PCNAs could be appointed at each organization. It should be given both the responsibility and the capacity to conduct this institutional support process,

including the functions necessary to perform the general knowledge management function. This would also include skills upgrading and training of staff, as well as identifying, inside and outside the institution, staff with expertise and experience that would be useful for PCNAs, particularly on cross-cutting issues and peace and conflict skills. For UN/World Bank coordination at headquarters level, the Technical Working Group on Post-Conflict Reconstruction should assume this function.

Additional time and financial resources need to be reserved for team building for the PCNA mission; this is already part of the PCNA process and described in Chapter 4. At the country level, it is important to enable key stakeholders to actively participate in consultations and exchanges with the PCNA mission. Necessary pre-conditions for ensuring this kind of interaction and participation may range from transport and language translation facilities to the provision of information, awareness-raising measures and upgrading of partner institutions on the principles, policies and practices of PCNAs prior to the actual interaction process.

## **5.2 Financial Requirements for the PCNA**

The PCNA is a process lasting around four to six months; it involves considerable staff resources in its preparation, and even more so in the country assessment itself. The cost of assigning international experts to the countries is extremely high, while it is also important to include local experts and to invite donors and NGOs to participate. The overall cost of the PCNA as calculated on the basis of existing cost estimates, will be at least \$1-1.5 million. Clear but flexible procedures for financing core functions of the PCNA Secretariat and the overall PCNA mission need to be developed.

### **Cost Categories**

The sample budget in Box 3 below (based on Liberia) and in Annex 45 provides an overview of broad cost categories. Cost categories can generally be divided into:

Staff costs for:

- 1 headquarters Secretariat function
- 2 UN/World Bank Secretariat
- 1 PCNA Coordinator
- 2-4 in-country logistical support staff
- Cluster Managers (5-7)
- Sector Specialists (20-35)
- Cross-Cutting Specialists (3-5)
- 1 Conflict Specialist
- Travel Expenses
- Logistical Costs (transport, communication, office material etc.)
- Workshop costs
- Data Acquisition
- Translation costs
- Printing and distribution costs.

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**SAMPLE BUDGET FOR NEEDS ASSESSMENT MISSION**


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	US\$
<b>HEADQUARTERS COORDINATION</b>	
SSA Policy Specialist (4 mos.)	20,770
SSA Program Associate (4 mos, part-time)	5,200
L3 Policy Specialist, conf. Coordination (1 mo. Part-time)	5,888
<b>FIELD COORDINATION</b>	
L3 Coordination Officer (4 mos., part-time)	7,748
<b>HEADQUARTERS TECHNICAL ASSISTANCE</b>	
Travel to Monrovia (2)	17,475
<b>MISCELLANEOUS EXPENSES</b>	
	1,500
<b>Sub-Total</b>	<b>58,581</b>
<b>CORE GROUP</b>	
Travel to DC/NY (3)	1,828
<b>DONOR CONFERENCE</b>	
Travel to NY (3)	11,178
Conference costs	7,500
<b>Sub-Total</b>	<b>20,506</b>
<b>SYNTHESIS REPORT</b>	
Travel to NY (2)	8,145
Travel to Monrovia (3)	18,152
Report printing	4,000
<b>Sub-Total</b>	<b>30,297</b>
<b>TOTAL UNDG</b>	
	<b>109,384</b>
<b>Sector Experts (staff costs)</b>	
35 Sector experts x 42 days x US\$600	882,000
<b>Travel</b>	
20 experts x 42 days x 200	168,000
<b>OVERALL TOTAL</b>	
	<b>1,159,384</b>

⇒ Annex 45: Sample Budgets from Past PCNA Missions
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**Note:** Annexes 2-7, 19, 39, 40 and 43, are under preparation by UNDP/UNDG.

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