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Social (Re-)Integration in (Post-)Conflict Situations by TVET and Employment Promotion

Results and Results-based Monitoring

Published by giz Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Social (Re-)Integration in (Post-)Conflict Situations by TVET and Employment Promotion

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Prepared for:

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
Department of Vocational Education & Training and the Labour Market

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Revision 2014: Dr. Eberhard Gohl, Ralf Lange

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Abbreviations

BMZ	Federal Ministry for Economic Cooperation & Development
DAC	Development Assistance Committee
EP	Employment Promotion
FGD	Focus group discussion
FS	Cross-sectoral marker – peace and security
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
OECD	Organisation for Economic Co-operation and Development
PCA	Peace and Conflict Assessment
MSME	Micro, small and medium-sized enterprises
RBM	Results-based monitoring
SHG	Self-help groups
TVET	Technical and Vocational Education and Training
VET	Vocational Education and Training

1. Background to the guide

Numerous development projects of Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH are carried out in countries affected by conflicts and violence and whose nationhood is fragile[1]. In settings like these, which are marked by insecurity, vocational education and training with the aim of youth becoming economically and socially integrated can make a significant contribution to stabilisation and to preventing violence. The number of GIZ vocational training and employment promotion projects in fragile environments has hence been growing steadily. Most of our work is commissioned by the German Federal Ministry for Economic Cooperation and Development.

Between 2005 and 2010, the allocation of the formerly so-called crisis ratings for crisis prevention, conflict management and peace development (KR marker)[2] had doubled within the vocational training and labour market portfolio. In 2013, 17 out of 63 projects of the portfolio were labelled with the crisis rating 1.

A number of GIZ projects in the area of Vocational Education and Training (VET) and Employment Promotion (EP),[3] place specific emphasis on social (re-)integration[4]. The examples used in this paper refer to GIZ projects in the Democratic Republic of Congo and East Timor[5]. The **intended result** in both projects is to integrate young people affected by conflicts into societies that are marked by longstanding conflicts. Target groups with differing needs are reached in this process, such as young ex-combatants, young women affected by war, displaced persons and violence-prone young people.

1 According to "Sustainable Economic Development in Conflict-Affected Environments", GTZ 2008, P. 4, between 2004 and 2008 2 out of 3 partner countries were in acute conflict situations or in direct (post-) conflict situations.

2 KR: Former BMZ marker for crisis prevention, conflict management and peace development; this marker was replaced in 2013 by the FS marker – peace and security. Explanations for the FS marker see attachment 1

3 This guide uses the abbreviation VET/EP as synonymous for GIZ projects in the area of vocational education and training and employment promotion.

4 In sociology, the term "integration" describes absorption, in particular in relation to the acceptance of an individual in his or her group. (Re-)integration, on the other hand, denotes social and economic processes in which displaced persons or ex-combatants are re-accepted into society. This guide combines both of these terms (see Attachment 2: Glossary).

5 Case studies were compiled for the following GIZ projects: "The economic integration of disadvantaged juveniles and young adults" in Maniema-Eastern Congo and "Employment promotion for young people" in Timor Leste.

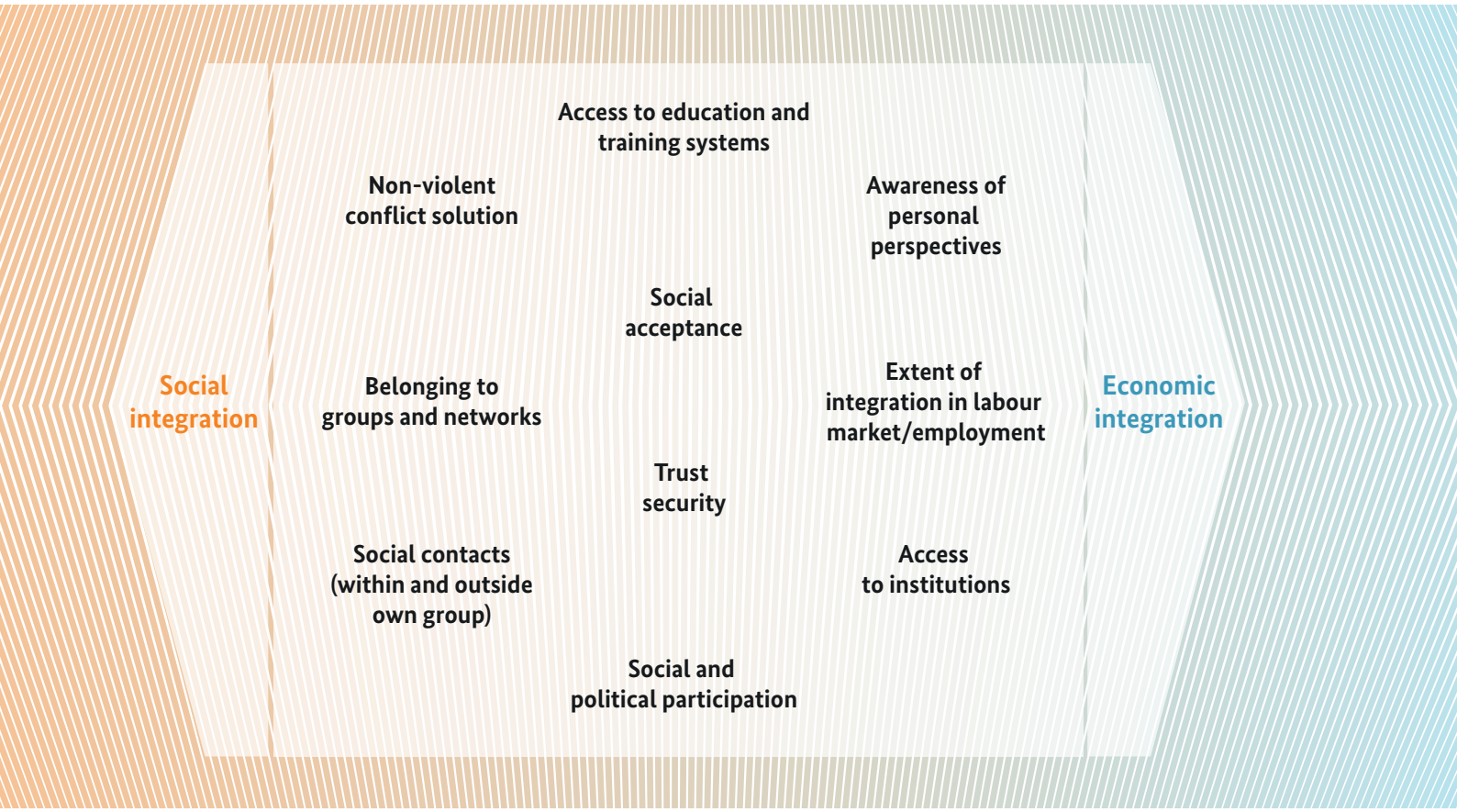


Figure 1: **Overview: social and economic integration**

In addition to these specific projects, there are numerous other GIZ vocational training and education measures contributing indirectly to social (re-)integration in politically unstable settings.

The objective of social (re-)integration measures includes improving the social recognition and participation of young people in economic and social life. Hence the measures for economic and social (re-)integration are closely linked:

In the wider context of peace building and conflict prevention, the projects are intended to contribute to the economic development of regions in conflict, to the alleviation of absolute poverty, to improving the security situation and to promoting democratic processes.

The debate on the effectiveness and efficiency of development cooperation in recent years has led to an increased focus of researchers and practitioners on measuring and verifying results of development interventions. While extensive experiences have been acquired in measuring the results of GIZ's VET/EP projects on economic integration, systematic results-based monitoring of social (re-)integration measures is still at a relatively early stage. There is, for instance, little concrete experience to date in formulating suitable indicators or in the selection of appropriate and reliable survey methods. In addition the field of social (re-)integration has some peculiarities that make it difficult to apply general standards to different contexts.

This guide is intended to give those responsible for GIZ projects in the field of VET/EP a reference tool to help them to systematically assess and document the desired results of programmes that are directed explicitly at social (re-)integration. The guide also addresses VET/ EP projects that seek to measure and verify the indirect or unintended results in the area of social change. In addition, the guide offers suggestions on how social aspects can be better incorporated into conceptual thinking and design of VET/ EP projects and programmes.

The guide is predominantly based on the GIZ "Guidelines on designing and using a results-based monitoring system (RBM system)"[6] and other working aids[7] published in 2013. Sectorspecific experiences are included through the guide "Results Measurement in the field of Vocational Education and Training and the Labour Market: Guideline for Practitioners" as well as on the authors' experience in measuring the results of integration measures. General aspects of results-based monitoring are not described here.

This guide describes the context and theoretical basis as well as the experiences and challenges associated with results-based monitoring. The main body of the guide describes results hypotheses, examples of indicators and methods of results measurement. Additionally practical advice on the collection of baseline data is given.

6 GIZ (2013): Guidelines on designing and using a results-based monitoring system (RBM system)

7 GIZ (2013): From results model to results matrix. A working aid for the appraisal of measures and offer preparation; GIZ (undated): Results-Based Monitoring System. Framework of reference; GIZ (2013) GIZ results model - FAQs

2. Context

This chapter deals with the characteristics of (post-)conflict situations, the situation of target groups and the challenges related to measures aimed at promoting social (re-)integration. Particular reference is made to the above-mentioned case studies and to the special features of GIZ projects.

2.1 Characteristics of (post-)conflict situations

The term "post-conflict" generally refers to the period between the end of a violent conflict and the onset of stable peace. This is assumed to be a period of up to ten years after the end of a violent conflict. In reality, post conflict stabilisation is seldom a straightforward process. Such processes are complex, sometimes take reverse turns (conflicts breaking out again) and are often marked by a high degree of insecurity, state fragility and violence. In this guide it was chosen to place the term "post" in brackets to indicate the fragility and complexity of these contexts.

Prolonged, violent conflicts have significant effects on the functioning of economies. Illegal economic activities that have contributed to the funding of conflicts often continue to exist and become part of the peace and conflict scenario (i.e. drugs cultivation and trading, illegal exploitation of natural resources, etc.). As formal labour markets are often dysfunctional, an "informalisation" of the economy is the result. Immediate (post-)conflict situations are marked by a daily fight for survival on the part of large sections of the population ("survival economy"). Economic activity in this setting often serves the immediate acquisition of income and has a local focus due to the lack of marketing structures and inadequate infrastructures ("short marketing chains"). The lack of qualified skilled labour often brought about by outward migration is another serious obstacle in the path of a revitalization and diversification of the economy. After prolonged periods of violent conflict social and economic infrastructure is often seriously damaged. In addition to the physical damage social services including the education and VET system are affected by, the context is typically characterised by poor governance and lack of adequate human resources. Reconstruction in the VET sector often requires extensive resources and adequate time in order to establish a new foundation for socio-economic development.

Confidence in political systems and governmental structures is often undermined by insufficient legitimation, widespread mistrust and corruption. Weak state institutions, including the education sector, are a real obstacle in the path of medium term economic and social development in a (post-)conflict society. Conflicts often lead to profound social divisions and have lasting negative impact on the cohesion of society and its social systems. This is manifested in deep mistrust on the part of the ethnic and religious groups involved in conflicts, between old and new elites, local groups and those returning home, and frequently within families.[8] Another development is the erosion of societal norms, values and rules among young people that is also becoming increasingly evident in relatively stable countries and contributes to increasing conflict potentials.

8 GTZ (2001) Wege zum Rechtsstaat: Beiträge der GTZ zur Entwicklung demokratisch-rechtsstaatlicher Strukturen. http://star-www.giz.de/dokumente/bib/01-0263.pdf

2.2 The effects of conflicts on young people

The effects of conflicts, especially prolonged conflicts such as in Eastern Congo or East Timor are extremely varied. On the one hand, conflicts harm the family and communal structures that offer protection and influence the development and integration of children and young people.[9]

They also have a negative effect on the acquisition of personal and social skills such as the ability to communicate and empathise, the willingness to accept responsibility and to cooperate within the family and the community. The impaired functioning of education systems often makes it much more difficult for children and young people in conflict situations to obtain formal education, which in turn hampers their access or transition into further education and training programmes. Physical and psychological effects of conflict such as trauma and health problems are further challenges to the social and economic integration of young people affected by conflicts.

The social causes and effects of conflicts on target groups are often given insufficient attention when integration measures are planned. In times of conflict many young people grow up in an environment of violence and suppression. Case studies show that a combination of aspects such as the perceived lack of perspectives, subordination to the parental generation, lacking recognition and violence in families play an important role for youth to leave their families and to form their own social groups. A further dimension in prolonged conflicts is forced displacement where children and young people are often separated from their families. After being forcefully expelled, many young people see their situation as one of helplessness. Their own peer groups offer a form of "safe heaven" and support but in a context of violence these are often militarized and aggressive and add to a latent conflict potential. Lack of social capital and recognition are barriers to lasting economic integration of young people in conflict situations. Furthermore, in many parts of the world young people grow up in a society in transition that is seeking a new identity and can give them little in the way of security or prospects.

Groups who are directly affected by violent conflict, such as former child soldiers, the victims of rape and young people who have experienced displacement and repression face specific reintegration challenges. For instance former child soldiers directly involved in acts of violence are usually both victims and perpetrators. It is often impossible or very difficult at the least to (re-)integrate them back into their home communities because of their role in acts of violence. Participation in the life of the community is further constrained by physical and psychological impairments.

9 UNDESA (2007) World Youth Report: Young People's Transition to Adulthood: Progress and Challenges.

3. Contributions of vocational education and training and the promotion of employment to social integration and their impact

The contributions of VET/EP to social (re-)integration consist on the one hand of imparting occupational, methodical and social skills as a core element of vocational training and on the other hand in the support for integration processes in the frequently "informal" labour markets and in the associated social structures. According to the underlying result hypothesis, the acquisition of vocational and social competences enables and considerably facilitates integration in economic and social structures. If the transition to training and integration in the kinds of (post-) conflict situations we are looking at here is to succeed, however, it is vital to identify the obstacles and problems as well as the potentials in each context and to design and implement customized measures for (re-)integration.

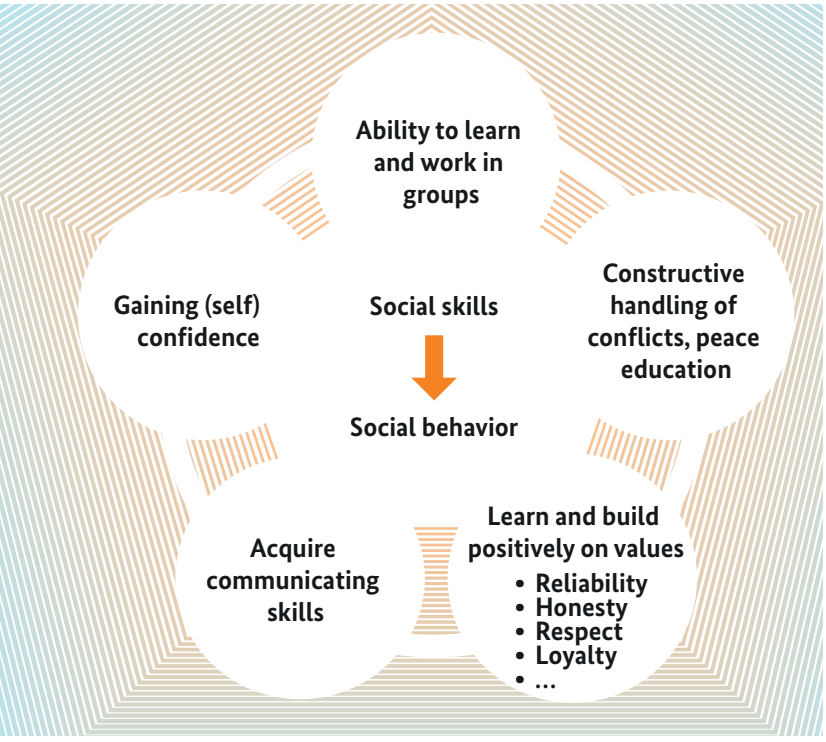


Figure 2: **Acquiring Social Skills**

The interrelationship between vocational training, employment and social integration can be described by using three models:

1. Acquiring social skills in a "protected environment"

Acquiring social competences is a key element of vocational training programmes, both for facilitating integration into employment and also to help ease integration into society. The acquisition of social competences commonly includes the ability to learn and work in groups, learning to communicate at the workplace, positively building on values such as reliability, honesty, respect and loyalty as well as cross cutting aspects like HIV/AIDS awareness and gender issues.

"Life skills education" for social integration of conflict affected groups goes a step beyond. To be effective it must build on "real life situations", i.e. directly referring to the social context of the target group and the specific integration challenges. It incorporates elements of personality building (gaining trust and self-confidence), non-violent communication, conflict management and peace education. Other measures offered include psychosocial counselling and, if required, complementary non-formal basic education.

2. Developing social capital through "training in the market"

In "informal economies" economic and social actions of an individual are by necessity closely interconnected. By facilitating training in the labour market [10] (i.e. enterprise based training, guided apprenticeships or cooperative training models) young people can acquire and improve their social competences by being directly exposed to the world of work and by learning to accept the existing social norms and values. The learning takes place in the daily interactions with the employer, other workers and customers. Another advantage of "training in the market" is the access gained by young people to social and economic networks. Close cooperation with the private sector such as the local trades' community is required for these models to function.

3. Active promotion of social integration by applying integrated employment and youth promotion approaches

Integrated approaches are appropriate in the context of prolonged conflicts with multiple effects on the target groups as well as a conflict prevention mechanism. Such approaches combine elements of non-formal basic education, conflict management and juvenile social work (i.e. psycho-social counselling) with vocational training and employment promotion.

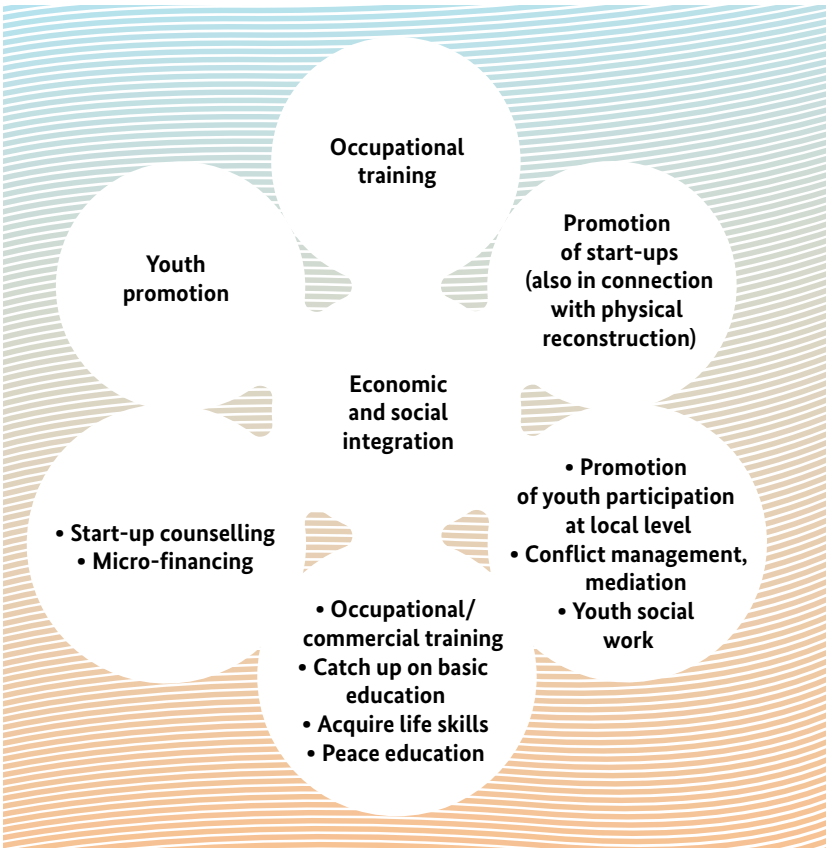


Figure 3: **Economic and social integration**

10 In both case studies the labour market is typically an informal or subsistence economy, i.e. there are few or no formal employment relationships. In the East Timor case study the integration measures take place in a rural context dominated by small farms.

Examples given are the case studies for Maniema-Eastern Congo and East Timor

Since 2005, the GIZ project "Economic integration of disadvantaged youth and young adults in Maniema Eastern Congo" has been supporting target groups affected by prolonged violent conflicts with programmes of non-formal basic education/ literacy, vocational training, vocational orientation and counselling assistance for business start-ups and well as social and medical support. The target group is very varied, it includes former child soldiers, young girls and child mothers who are victims of rape, and other non-integrated homeless young people. Intermediary organisations with whom the project cooperates are provided with capacity development measures. The overall objective of the project is the successful integration of youth and young adults into the economy. Young people are given the opportunity to catch up on basic education. Training in a trade or craft is carried out exclusively in the workshops of local craftspersons. Start-ups are facilitated by young people forming small groups and receiving start-up capital, entrepreneurship training and ongoing counselling. "Listener" groups cater for the social and psychological needs of those young people who are particularly at risk.

The project "Employment promotion for young people in Timor Leste" started in 2008. The target group are young people who have completed training at agricultural vocational schools who form groups and are given land by a local authority to start agricultural activities.

The objective of the project is: "young people who have completed vocational training in agriculture acquire a sustainable income in production groups and cooperatives and gradually improve participation in the social and economic life in their rural communities." The project supports the development of training and integration programmes, the coordination between the responsible government departments and vocational schools and the development of practically oriented curricula. Trainees who have completed a course and who form a production group are given start-up assistance and entrepreneurship training. Local authorities are given support with their advisory work. The project further supports non-violent conflict management in schools and in production groups.

4. The role and the challenges of results-based monitoring in the context of (post-)conflict situations

4.1 The specific role of results-based monitoring in managing (post-)conflict projects

Unlike contexts of peace and stability, (post-)conflict situations are characterised by a high level of complexity and involve situations which change frequently. This poses a real challenge to the strategic orientation of a project, to the flexibility of its implementation and ultimately to results-based monitoring itself. In Capacity WORKS[11], the GIZ management model, results-based monitoring plays a central role in the management of a project and in the joint learning process. Especially in situations which are constantly changing, monitoring provides important information for managing a project based on the success factors and provides feedback on, for instance, the extent to which the applied strategies, approaches, methods and processes as well as cooperation with the key stakeholders are appropriate and likely to succeed.

Results-based monitoring can contribute indirectly to social integration if it is an integral part of programme measures and is based on a participatory approach because:

- it encourages self-reflection;
- it supports exchanges between the different stakeholders involved in the integration process;
- it can promote the participation by civil society, for instance, by facilitating exchange between the target group and decision makers.

GIZ projects in (post-)conflict situations are usually conflict-sensitive and aim at preventing any negative effects that may exacerbate the conflict (the do no harm approach[12]). They are intended to strengthen those effects that contribute to peace-building and help deescalate the conflict. Projects that aim at social integration are often given the BMZ classification FS 1, which means that peace and security is a significant objective (one aspect of the programme or module objective, output), but is not in itself a key reason for implementing the measure. In this case monitoring systems are to be designed in such a way that they include conflict-preventing, conflict-transforming and peace-building effects[13].

Based on the Peace and Conflict Assessment Concept (PCA)[14], conflict-sensitive monitoring means "observing and reflecting your own conduct, your own unconscious attitudes and values, your conscious or unconscious role in the conflict, i.e. the impact of your own work on the conflict situation and the consequences of the conflict situation for your own work".

11 When applying Capacity WORKS, the main focus is on the objectives and results of the project measure that have been agreed with the partner. On the basis of the five success factors: strategy, cooperation, steering structure, processes, and learning and innovation, programmes are jointly structured in order to achieve the objectives and results. Using Capacity WORKS involves applying the success factors and the instruments applied to continuously review the path taken. This makes responding flexible to changed conditions in a dynamic environment.

12 Do No Harm is a concept for conflict-sensitive planning and implementation of emergency, reconstruction and development programmes in conflict situations. See Glossary, Attachment 2

13 GIZ 2013: the marker system, see also attachment 1

14 Peace and Conflict Assessment (PCA) p.10, GTZ 2008; http://star-www.giz.de/dokumente/bib-2008/gtz2008-0381en-crisis-pca.pdf http://www.giz.de/en/ourservices/1544.html

4.2 The challenges to results measurement

Results-based monitoring of projects promoting social integration in (post-)conflict situations must be guided by the following factors:

- Constantly changing context
- Security requirements
- Ensuring conflict sensitivity
- Multi-dimensionality and complexity of social integration processes
- Gender specific aspects of integration
- Target groups with heterogeneous backgrounds

Because the context is constantly changing in (post-)conflict situations, the scope of the monitoring is required to not only cover the result range applying indicators, but also the setting within the project is implemented, which must be kept under constant observation. Key aspects here are the monitoring of the political situation, the security situation, the interests and scope of influence of important stakeholders as well as the processes of coming to terms with the past (see also the chapter on observation fields and indicators). Aspects of **security and conflict sensitivity** also play a part in results-based monitoring. When data are collected and used, for instance, the personal security of those to be interviewed must be the main consideration. Personal data (i.e. case studies) can be sensitive and sometimes need to be secured before being used by third parties or rendered anonymous. Surveys also need to be conducted in a conflict-sensitive manner and project personnel should be trained correspondingly.

To ensure the conflict sensitivity of a project, it can be helpful to include the possible unintended results of the project in addition to the intended results that are accounted for by the results model as well as contribute to the achievement of the objective. Intended and unintended effects are often very closely aligned, as is shown by an example from East Timor:

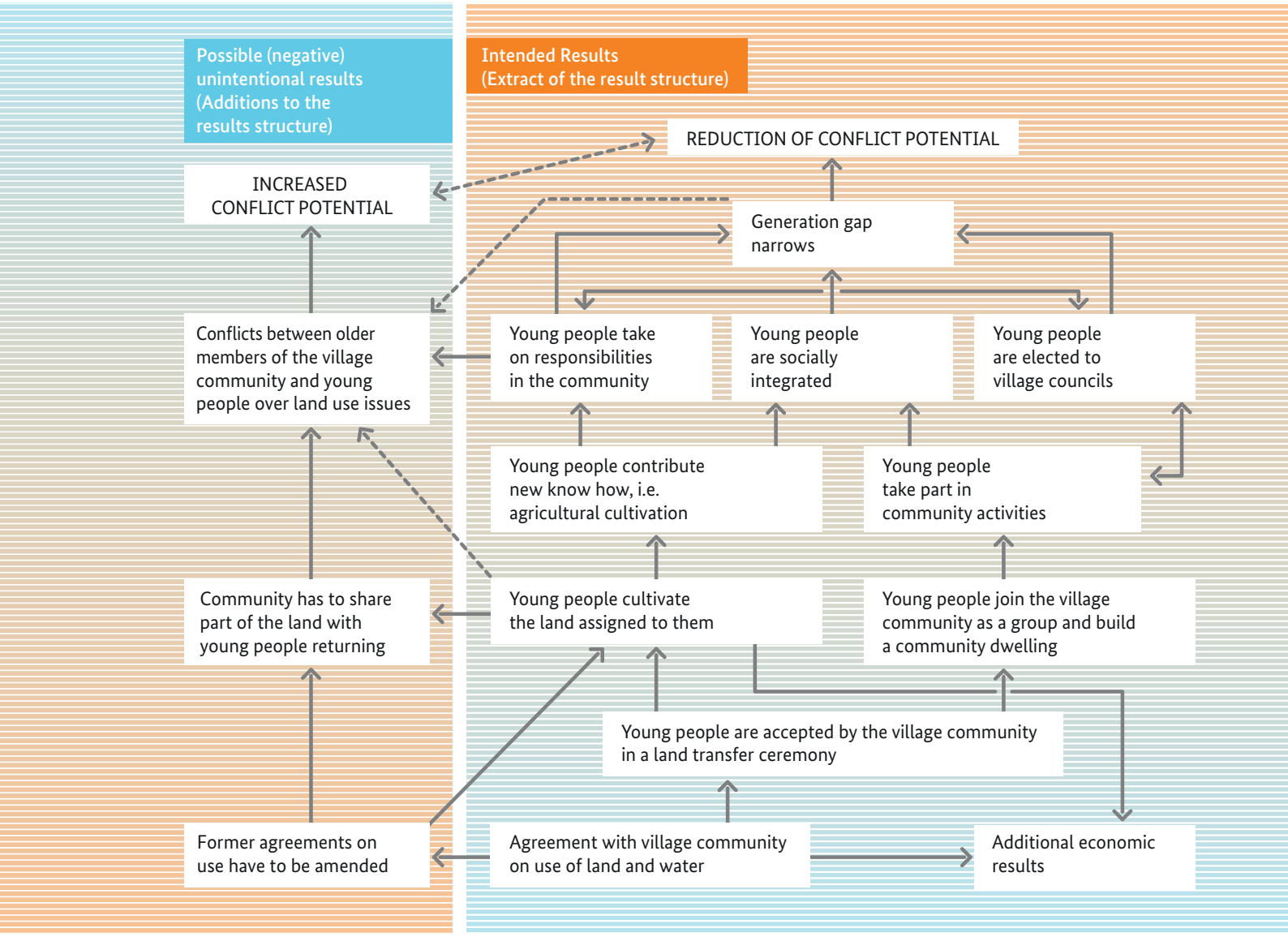


Figure 4: **Intended and unintended results**

The major challenges in documenting and assessing the impact of social integration are the dynamics and complexity of the integration process itself. These are multi-dimensional processes of change which can only be satisfactorily portrayed in complex, interconnecting results frameworks. Practice has shown that collecting data by means of individual indicators only is not satisfactory as a way of capturing these complex, process-based changes. Therefore, the results can be better recorded by means of indicator systems and qualitative key monitoring questions rather than with single indicators. This increases the complexity of the monitoring system and the demands placed on data collecting. There is, therefore, a special challenge in achieving a **balance between complexity and practicability** of a results-based monitoring system.

In monitoring social integration, qualitative indicators will largely be used. This means that a further challenge arises in the subjectivity of interpretation of indicators. What is understood by recognition and appreciation, for instance, can differ from one person to the next. The indicator for measuring the degree of recognition and appreciation will be assessed as more positive or negative depending on the subjective feeling or judgment of individuals. In order to harmonise interpretations, indicators should be developed together with the target group and

common definitions and specifications should be defined which can then be used to measure the indicator. Experimental designs and the formation of comparison groups are only possible to a limited extent in conflict-sensitive environments (see also chapter 6.6).

Social integration is, as described above, an intricate and often lengthy process which cannot be properly assessed within a limited project time frame of, for instance, three years. If one considers the project inception phase and the necessary initial activities for capacity development of intermediaries before project measures can actually start, the interval between the implementation of activities with the target group and the completion of the project is sometimes less than 18 months. In such a limited time frame social integration or the contribution made by vocational training to integration cannot be fully and comprehensively measured. For this reason, projects should aim at improvement in "ability for integration"[15] as the **objective** of the project measures. Moreover, the process of (re-)integration is influenced by external factors which are often outside the sphere of influence of individual projects.

A further challenge for both the design of measures to promote integration and for results-based monitoring is the **cultural dimension.** Social integration takes place in specific cultural contexts which are moulded by history and influenced by violent conflicts. In an attempt to understand "non-western" contexts, terms like polylogical (multivalue logic)[18] or *multisitué* (taking in several different perspectives)[17] are used in current literature and discourse, to underline the fact that western logic does not have a universal meaning. Meaning must instead be sought in more complex, multifaceted arenas. These, however, do not always necessarily relate to each other, but can have several meanings and parallel validity. If we wish to draw closer to other views of the world and the people in it, we consequently have to engage with different traditions of thinking and do this in a way that does not just acknowledge and interpret, but fosters recognition on both sides.

For instance, following violent conflicts, all those involved should look for historic and cultural patterns which could be useful for the rebuilding society.

Examples from case studies:

- In Bantu languages, the term UBUNTU describes the essence of human existence (NTU= to be). It can also be translated by "a person is what he is because of another person" or "I am what I am because of who we all are" NTU is the river of life that flows through the whole of creation.
- The *NAHE BITI* ceremony in Timor Leste means "roll out the mat". The traditional grass mat should be rolled out and stretched so that there is room on it for all involved so that they can tell their version of the story and find a common solution. Here, too, there is a basic concept of a creative force that runs through nature, animals and human beings and is sustained by communication with ancestors in regular ceremonies.

In this cultural context, social coexistence is vital and life-giving, meaning that for the social integration of young people integral healing forms of cohesion can be found. From this viewpoint, coming to terms with the past means finding social consensus that makes it possible to live together again in a community. In Eastern Congo counselling in the so-called *Club d'Écoute* compensates for society not confronting its past and is necessary and important for the socialisation of young people damaged by war. Coming to terms with the past is thus an important observation field for monitoring.

15 cf. improvement of employability as a direct outcome of vocational training as a parallel.

16 Wimmer, Franz Martin: Interkulturelle Philosophie. Eine Einführung. Vienna. 2004

17 Roulleau-Berger, Laurence: Désoccidentaliser la sociologie. L'Europe au miroir de la Chine. La Tour d'Aigues. 2011

5. Theoretical bases

In this chapter the theoretical bases of approaches to social integration and the relationship of these approaches to results-based monitoring are briefly discussed. The concept of social capital and the theory of recognition are described at length in the appendix.

The concept of **social capital** addresses the importance of inclusion in society for the actions of individuals and for the cohesion of groups and societies. The concept of social capital links economic integration of individuals and groups with their social integration in the community.

Social capital can be understood at the macro or societal level as a social resource and finds expression in organisational structures and networks. Networks built on trust and forms of cooperation. They lower the costs of transactions and make reciprocal economic relations possible. At the micro or individual level, social capital describes the ability of an individual to build resources by means of social contacts, networks and relationships and to use these like other assets to foster personal objectives.

Building the social capital of young people in Eastern Congo, for instance, encourages their inclusion in the social structures of village communities and hence improves their prospects of becoming economically active. A basic element in this is the building up of mutual trust. The building of social relations as a second step enables young people to get support from the community in seeking employment. Figure 5 (page 20) shows the six dimensions of social capital as shown in a concept paper of the World Bank.[18] Proceeding from these dimensions, observation fields for monitoring can be identified and indicator systems developed, mapping out the intersections between economic and social integration.

Whereas the theory of social capital entails a social resource that can be developed and utilised, the **theory of recognition** examines the motivations of actors within a social context. Distribution battles within society are seen as part of the struggle for recognition. Without appreciation, members of society lack an essential element of inclusion. Even when material gains are the ostensible motive for a struggle, under the surface there is always the human need for affirmation, love, appreciation and respect. According to the theory of recognition, economic hardship, social and political repression and dependency are important ingredients for the development of violent conflicts. Yet the triggering factors for conflicts are often a lack of recognition and the personal experience of young people and that their demand for personal integrity is being ignored.

18 See World Bank, 2004: Measuring "Social Capital" – An Integrated Questionnaire. World Bank Working Paper No.18

For young people, the lack of respect experienced from the older generation often triggers negative emotions that reveal to the individual that society is principally denying him or her a certain form of recognition. These emotions – positive and negative – are linked to an individual's experience in concrete actions. If, therefore, actions fail due to infringement of a norm that is perceived as commonly accepted, the result is a moral conflict in the social environment. The form and manner in which recognition is experienced is shaped by history and culture. This also means that the experiences interpreted by subjects as disrespect are to be judged from a moral viewpoint. This requires normative standards, an idea of what constitutes a good life and material fulfilment. The necessary reference framework for defining a good life and material ful--filment is supplied by the prevailing recognition system that has developed over time in a particular society.[19]

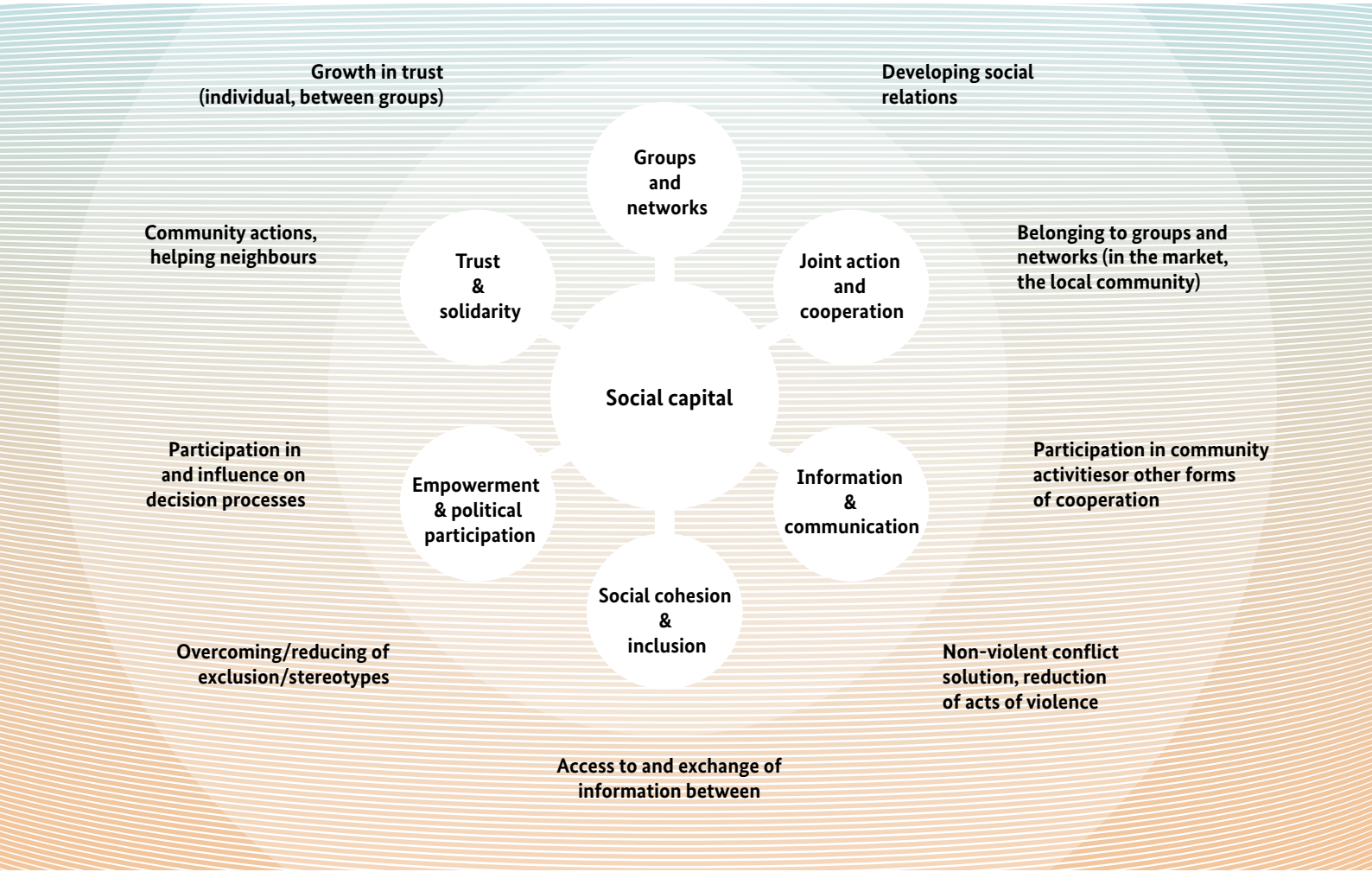


Figure 5: **Dimensions of social capital**

19 According to Axel Honneth, one of the leading minds on recognition theory, the need for social recognition is a universal basic constant (cf. Honneth 2010. P. 261ff)

6. Results-based monitoring of social integration

This chapter briefly introduces the GIZ results model and then goes on to describe the steps involved in results-based monitoring of social integration in VET/EP projects. This is based on the six steps for designing and using a results-based monitoring system[20]. In this process (a) general remarks are made with respect to the results model (b) examples are given for results models, (c) external influences are listed and (d) observation fields are identified and corresponding indicators are designed at the results level. Methods of results-based monitoring are then described and recommendations are given on establishing monitoring systems.

6.1 The GIZ results model

Results orientation

Results-based monitoring is an on-going process during which all the changes that are brought about either indirectly or directly by a project's activities and outputs are observed, recorded and used for steering, learning and reporting purposes. Results are described as all the changes that can, directly or indirectly, be attributed to the development measure in a causal or at least plausible way. They can be intended or unintended, expected or unexpected, positive or negative. Results can occur from the very beginning of as well as throughout an intervention and unfold further after its conclusion.

The core of the concept is the clear formulation of intended results and the identification of the change processes required to achieve these results, i.e. the causes leading to the desired effects. These causal relationships – cause and effect – can be depicted through a results model. It is a systematic, non-linear representation of a results model.

Depending on the requirements and resources of the actors involved, different results can be selected for the objectives of the project within the results model. These different strategy options are agreed upon through a dialogue with partners and clients.

For each intended result that belongs to the selected strategy, suitable interventions of partners and GIZ are identified; these comprise activities and an optimal mix of instruments required for achieving the results. They can be illustrated in the results model chart; in the following examples, however, they are left out for the sake of clarity of the presentation.

6.2 Results model for social and economic (re-)integration[21]

Figure 6 shows a generalised example of a results model for social and economic integration based on the case studies. Social and economic aspects are linked in the results model and are closely interrelated.

In this chart is it assumed that the project is primarily located at the meso level, i.e. that the interventions are mainly aimed at capacity development of organisations (e.g. employment services, youth organisations), which work in the area of social and economic (re-)integration of young people (standard situation).

In highly fragile environments and immediate (post-) conflict situations it may be the case that GIZ projects are involved in direct implementation at the micro level, i.e. social integration interventions are carried out directly or in cooperation with other actors. In this case system boundaries adjust accordingly.

20 GIZ (2013): Guidelines on designing and using a results-based monitoring system (RBM system), p.4

21 According to "Sustainable Economic Development in Conflict-Affected Environments", GTZ 2008, P.4 , between 2004 and 2008 2 out of 3 partner countries were in acute conflict situations or in direct (post-) conflict situations.

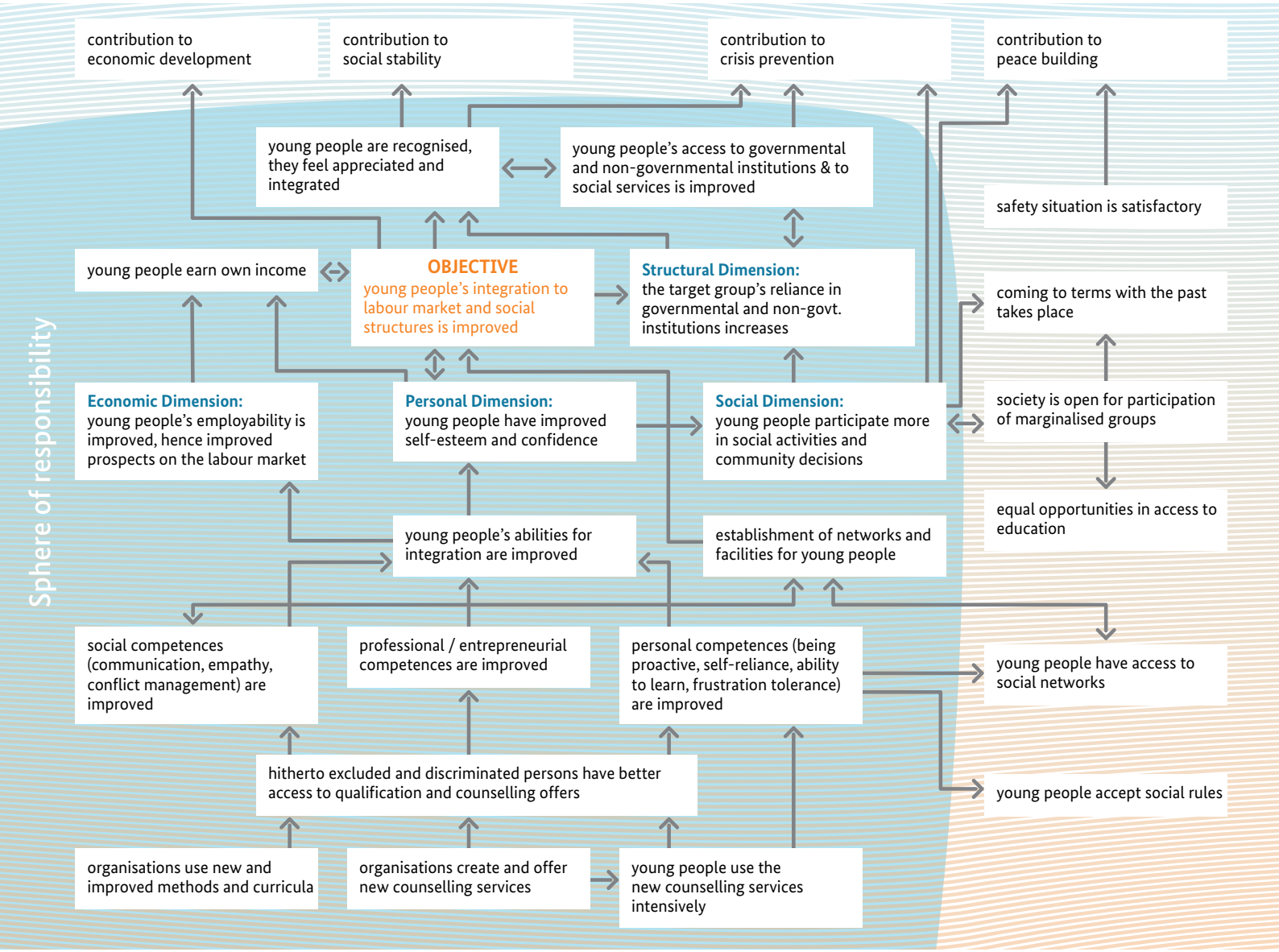


Figure 6: **Example of a results model for the social and economic integration of young people**

Description of results contexts:

VET/EP projects by GIZ that aim at promoting social integration are often made up of a combination of other interventions in addition to the core elements of vocational training and/or promotion of employment. These include non-formal basic education, "life skills education"[22], psycho-social counselling services, promoting the (re-) integration into the labour market and income-generating activities.

In contexts of high fragility, instability and weak governance structures project interventions typically address the micro and meso levels first. On the micro level this refers typically to institutions that provide formal or non-formal vocational training. However, project interventions can

22 According to "Sustainable Economic Development in Conflict-Affected Environments", GTZ 2008, P.4 , between 2004 and 2008 2 out of 3 partner countries were in acute conflict situations or in direct (post-) conflict situations.

also be implemented in cooperation with the private sector, employment services or non-governmental organisations which operate youth centres and other social services. On the meso level it can be related to associations or institutions that operate on the regional level. The aim is to create, design and strengthen services to promote social (re-)integration of the target groups effectively. Aspects of social and economic integration are usually closely connected. One example is the integration of social competences into curricula, teaching materials and teaching methods of formal and non-formal vocational training programmes as well as the methodological training of teaching staff. Specific measures to promote social integration are, for example the development of capacities for counselling and social services in cooperation with communal structures.

Explanations for the results model (see figure 6):

An example of specific project interventions for the promotion of social integration is the creation of specific offers for qualification and counselling of young people that have been largely discriminated and excluded in the past: This includes the development of adapted concepts for vocational skills training of target groups with low levels of education and curricula that combine non-formal basic education and the acquisition of Life Skills, developing the capacity for psycho-social counselling and, in addition, providing methodological training for social workers in the already existing youth clubs.

In the example illustrated above, the result "young people's integration to labour market and social structures is improved" can be selected as the project objective. Together with the above described results, that are within the area of responsibility of the project, this contributes to results that are outside of the project's area of responsibility: economic development, social stability, prevention of violence and peace building.

The results model shows various results areas or dimensions: the social and personal dimension as well as the economic and structural dimension. Educational institutions apply new or revised curricula and methods and provide new counselling offers that young people can utilise. Target groups who were hitherto excluded and disadvantaged are given better access to training and counselling services and to youth centres.

An important results dimension is the improved "ability for integration" that may consist of:

- improvement of social competences (i.e. communication skills and the ability to build social contacts, empathy, the ability to deal with conflicts constructively)
- improvement of personal competences (i.e. being proactive, self-reliance, ability to learn, frustration tolerance)
- improvement of vocational or entrepreneurial competences (overlap with improved employability)

The *personal dimension* of change and an additional result is, for instance, increased (self) confidence and self-assurance on the part of the young people. At the same time, this contributes to improved employability of discriminated young people, which enables them to earn their own income (economic dimension). This is seen as the basis for social relations and interactions and as the necessary prerequisite for the development of social capital.

The above described results contribute to young people increasingly getting involved in the social activities and decision-making processes of the local community *(social dimension)*. A further result can be better access on the part of target groups to governmental and non-governmental facilities (such as vocational training institutions).

The aforementioned results lead to the target group having increased confidence in governmental and non-governmental institutions in the medium term *(structural dimension)*.

Improved competences can be used to (1) *attain individual goals* and (2) *to benefit the community*. This happens in a variety of ways. In this context social capital describes the ability of an individual to develop resources by using social contacts, networks and relationships and to use these like any other assets to reach individual goals. A person can, for instance, use their social capital to find support in looking for employment, to acquire money when in need or gain important information (see chapter 3). This means improved integration into the labour market. Using these acquired competences for an individual's own purposes and those of the community is intended to lead to a situation in which the target group feels recognised, appreciated and included. This occurs in phases and begins with recognition and appreciation of the young people by their families, the community, social and economic networks and finally by society.

These social contacts and the access to information can be considered as a basis for additional results. Risk groups such as former militarised young people, for instance, change their social behaviour and increasingly resolve conflicts without resorting to violence. The increased confidence of young people in state and non-state institutions is linked to having better access to such institutions and, if required, to social services.

Specific interventions and instruments are necessary for achieving the described results. Curriculum development, for instance, is facilitated by international and national experts; the implementation of curricula in national VET institutions is accompanied by expert advice from national personnel. The work within the youth centres is qualified through the professional assistance of development advisors.

In the GIZ project Maniema/ Eastern Congo the phases of integration can be depicted as below:

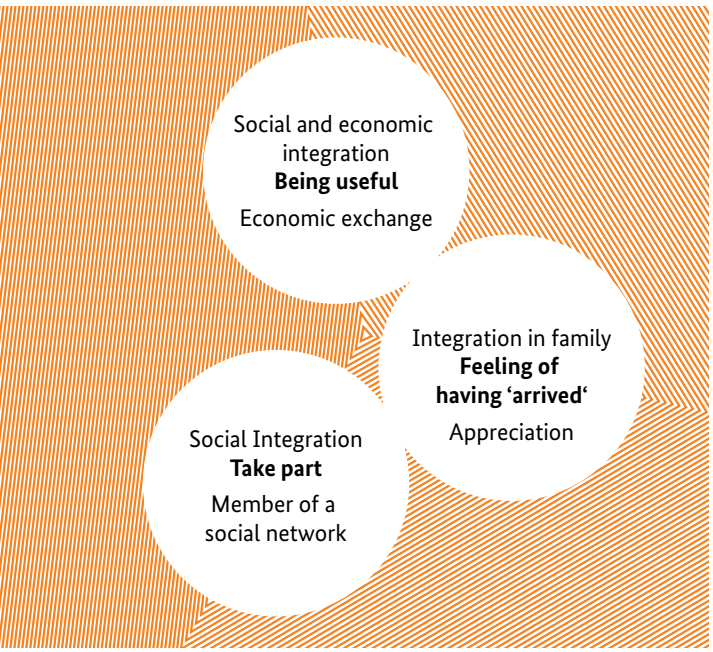


Figure 7: **Phases of integration**

From this logic "milestones of integration" can be developed (see section on indicators) in a process-oriented manner.

Recognition and appreciation are part of the various dimensions of social integration. Taken together they determine the degree of integration for the target group. The new or restored "feel of belonging" within the community (social group) and recognition and appreciation by the community makes it possible for the young people to maintain a positive self-relationship (see chapter 3). This in turn makes it possible for young people to be integrated permanently as social actors in society.

Social and economic integration also contributes in the long term to the strengthening of structures and systems, to economic revitalisation, the prevention of conflicts and to peace building.

6.3 Sphere of responsibility and external conditions

Project managers and partners have control over the activities that need to be delivered as well as the instruments that need to be applied, and by doing so exert influence over changes and consequently the attainment of the objectives. The project's area of responsibility goes beyond this; it includes the sphere of action in which interventions are steered and implemented in cooperation with other actors. However, outside of the project's area of responsibility there are necessary changes that are of interest to the project, but can be influenced less easily. Results-based monitoring therefore also observes the changes outside the area of responsibility if they can have possible (negative) effects on the project's interventions. By differentiating the change process as a whole from the area of responsibility defined within this change process, the intersections to external conditions and risks become clear.

The previously illustrated example of a result model does not automatically generate the described results. As it is the case with all social changes, there are contributing and hampering forces. Also, results sometimes only come into effect after a latency period that exceeds the project period. As mentioned above, results-based monitoring does not only trace intended, positive results; close attention also needs to be paid to unintended and negative results if they occur.

The external conditions of social integration are influenced by (1) personal factors rooted in the target group, (2) societal factors as well as (3) further historic, economic and political factors. It should be noted that in general, the attitudes, values and actions of individuals are influenced by

their social environment and in turn, the individuals adjust their actions to their social environment. These influences can be conducive or obstructive to achieving the objectives of the project. In the discussed case example, the following factors are amongst those that can hardly or not at all be influenced by the project. These need to be given particular attention:

Target group factors

These are made up primarily of the ability and readiness of individuals and groups to "integrate". This involves:

- social and personal competences including the knowledge and acceptance of the social rules of the community versus the conscious rejection of rules (that can also be discriminating)
- access to social networks and groups (positive and negative social capital – see attachment 3) versus deep-seated prejudices
- the will to become re-socialised and reshape personalities versus value concepts rooted in society; for young people this also involves the transition from childhood to adulthood

Factors within an "integrating society"

- Openness in contrast to prejudices against and discrimination of social, ethnic and religious groups
- Equality of access, for instance to education and training institutions versus barriers that can hardly be overcome
- Participation of young people in communal assets and activities (e.g. access to land) versus an existing (discriminating) legal system
- Opportunities for social and political participation, for instance to participate in decision making processes in the local community versus existing legal possibilities

Other external[23] factors influencing social integration

- The political setting (peace and conflict context) and the security situation
- The historical, economic and political factors influencing the current conflict scenario
- Processes of coming to terms with the past and reconciliation (national, local)
- Overall social and economic developments (population, labour market, education) especially employment opportunities in labour markets affected by conflict
- Cultural, social, environmental and political resources

The Eastern Congo case study shows how the process of coming to terms with the past can influence social integration. Prior to the project, no reappraising of the events of the war had taken place in Eastern Congo. The project had to respond to this and organised so-called listener clubs to give deeply traumatized young people the opportunity of confronting their traumas and gaining better chances of (re-)integration.

The project is required to recognise the conditions that can hardly or not at all be influenced and capture them in observation fields within the framework of results-based monitoring. This kind of monitoring does not always have to be based on indicators or formal surveys, as the following sections 6.4 and 6.5 show.

6.4 Observation fields and indicators for social (re-)integration[24]

To begin with, the expected changes give guidance which observation fields need to be monitored. Indicators need to be defined for those observation fields selected as project objectives and outputs, and they need to be included in the results matrix:

- At least three but not more than five indicators need to be formulated for results that are situated on the level of programme or module objectives; these are commonly already part of the proposal but often need to be operationalized
- For results within the area of responsibility that are below the level of objectives (=outputs), not more than two indicators per output should be defined

"Indicators are reference values or variables that give specific information on complex issues and allow them to be measured. They show whether and to what extent a planned change has occurred. [Indicators] must be objectively verifiable (i.e., proof must be available); a verifiable

23 External factors are usually those positive or negative influences which impact on the effectivity of a project but are outside its scope – meaning they are not directly influenced by the interventions of the project

24 This section refers to the process step 3 when designing a results-based monitoring system,

baseline and a target value must be given for each indicator. The collection of data on indicators, and their assessment during results-based monitoring and subsequent evaluation make it possible to examine whether a measure is achieving or has achieved the intended results"[25].

The specific challenges involved in defining suitable indicators to measure social integration are:

- the definition of verifiable quality characteristics for qualitative aspects of integration such as "more self-confidence" or "improved recognition"
- the risk of subjectivity in the measurement and interpretation of qualitative indicators
- the adequate consideration of the multi-dimensional nature of integration processes

It is therefore recommended that indicators should be developed together with the key stakeholders involved. It is crucial here to define qualitative indicators as exactly as possible in order to limit the scope for interpretation. One example of this is the observation field termed "improved recognition" as an important characteristic of social integration:

In the following, examples of observation fields and indicators of various aspects of social integration are described (Table 2). A principle distinction is made between results and process indicators. Results indicators are intended to show the results of a project (within the area of responsibility) whereas process indicators mainly refer to the level of interventions. The latter are particularly important for steering a project towards the intended results. It is also useful to formulate indicators for unintended results and risks. It is usually advisable to formulate specific key monitoring questions in addition to the indicators in order to contemplate the qualitative facets of changes more closely [26].

The following table gives an overview of possible qualitative indicators at the levels of impact and outcome. They also reflect the various different dimensions (personal, social, structural). The economic dimension is largely dispensed with.

Table 1: **Observation field "improved recognition"**

Observation field	**Indicator**	**Possible criteria**
Social recognition and appreciation	the proportion of young people involved in the project that confirm that they have experienced recognition and appreciation in their social environment increases to 80%; survey 24 months baseline: 20 (10%) of altogether 200 young people target value: 160 (80%) of altogether 200 young people	Type and number of conflicts between target group and local community, decrease of these Quality and number of contacts outside peer group, increased frequency of contact Participation in communal activities. Nature of participation, frequency and quality.

25 GIZ (2013): Guidelines on designing and using a results-based monitoring system (RBM system), p.33

26 Cf. GIZ (2013): Guidelines on designing and using a results-based monitoring system (RBM system), p.25

Table 2: **Observation fields and indicators**

Intended results	**Observation fields + Indicators**

Improved integration	**Observation field:** social recognition, appreciation, status
	
	Indicators: *Positive changes in terms of:*
	• *contacts to leaders and other influential peoöle in the local community (number of contact persons and quality of relationships)*
	• *degree of recognition and appreciation* by family, friends, neighbours, local community (own view of acceptance)
	• *perception of the wider community (outsider view) in relation to:*
	  • extent of economic participation by target group (working hours, income)
	  • degree of support from family as result of economic activity
	• *social and economic status* in the community
	• *membership of and intensity of use* of social networks (SHGs, cooperation, family, extended family and peers, neighbours, etc. – influences number of social contacts)
	• type and quality of newly *developed relationships, social contacts* (family, group, local community, etc.) and frequency of contact
	  • number and intensity of contacts
	  • type: i.e. private, professional; in local community, in work context

	Observation field: *participation in society* **Indicators:** *Positive Changes in terms of:* • quality of exercised *leadership roles* (informal, formal) • quality and extent to which *decisions* of groups/ in institutions can be *influenced* (family, extended family, neighbours, group, local community) • extent to which *access can be gained to important resources* (land, loans, production, capital) • type and degree of participation of target group in *political and civil society processes* (i.e. public discussion forums) public discussion forums)
Improved integratability	**Observation field:** social dimension – participation in activities and decisions **Indicators:** *Positive changes in terms of:* • type and degree of *participation in joint activities* in the local community (contribute to life of the community) • type and degree of exchange of *information and communication* in family, with neighbours and local community
	Observation field: personal dimension – increased self-confidence and assurance **Indicators:** *Positive changes in terms of:* • rating of personal perspectives (before/after comparison, degree of change) • degree of trust and solidarity with family, friends, neighbours, local community • extent to which target group feels secure

Outcome: Improved integratability	**Observation field:** structural dimension – access to and confidence in state and non-state institutions **Indicators:** *Positive changes in terms of:* • access to local institutions (i.e. education facilities, local authorities): • number of young people who actively contact further education and training facilities and take advantage of their opportunities • increased confidence in local institutions (i.e. education facilities, local authorities): degree of confidence in government institutions

Improved integratability	**Observation field:** *social and personal competences*
	
	Indicators: *Positive changes in terms of:*
	• how and to what extent social behaviour within the groups of young people changes and differences in interaction with other groups (individuals or in the local community take place, as for example:
	  • *change in way of communicating (outsider view),*
	  • type and number of *examples of non-violent conflict solution*
	  • type and amount of team work
	• *extent of adaptation to norms and values* / change in values, norms and attitudes

In the Eastern Congo case study, "integration milestones" were developed together with the target group using the "biographic interview" method. The example shows that the two spheres of economic and social integration are overlapping:

Table 3: **Integration milestones**

No.	Milestone	Indicator
1	Closing the gap in basic education and life skills	proportion of young people (m/f) who have completed programmes enabling them to catch up on basic education and life skills and confirmed that self-confidence and respect has been given to them by their (host) family (feeling of having "arrived"), increases to 70% (at the end of the project) (m:65%, f:75%). Baseline: 40 (20%) of 200 young people; 15 (15%) of 100 young men; 25 (25%) of 100 young women Target value: 140 (70%) of 200 young people; 65 (65%) of 100 young men; 75 (75%) of 100 young women
2	Completion of vocational skills training	70% of the young people (m:72%;f:68%) who completed vocational skills training in a local enterprise started an income-generating activity after a total of 12 months training ("being useful") Baseline: nobody (0%) of 200 young people; Target value: 140 (70%) of 200 young people; 72 (72%) of 100 young men; 68 (68%) of 100 young women
3	Completion of programme	By the end of the 3 month follow-up phase, 60% of the young people (m: 45%; f:75%) are members of a savings club, youth club or other association Baseline: nobody (0%) of 200 young people Target value: 120% (60%) of 200 youngp people; 45 (45%) of 100 young men; 75 (75%) of 100 young women

When operationalizing projects with partners that work with the Logical Framework or Contribution Analysis, indicators can also be portrayed in an "indicator system" in line with the results matrix. The example given in Table 4 is based on the case of East Timor:

Table 4: **Indicator system (objectives and indicators) for integration of young people in Timor Leste**

Objectives / Results level	expected results	Indicator of social integration
Programme objective (economic and social dimension)	Young members of agricultural production groups are appreciated by the village community	• 50% of the members of the village council confirm appreciation of the production groups baseline: 10% (2 out of 20 village council members) target value: 50% (10 out of 20 village council members) • 1 member of the production group is elected to the village council baseline: no member in the village council target value: 1 member in the village council
Module objective (Outcome)	young people have improved access to community structures	• 70% of all groups are integrated into the existing loan cooperatives baseline: 20% (2 out of 10 groups) target value: 70% (7 out of 10 groups) • Members from 70% of all groups engage in Counselling activities in the village baseline: 10% (members from 1 out of 10 groups) target value: 70% (members from 7 out of 10 groups)
Output	Village communities have made agreements on use of land and water with new production groups	• 50% of all groups have a written agreement on use of land and water with their village community • baseline: 10% (1 out of 10 groups) target value: 50% (5 out of 10 groups)

In addition to the results and process indicators mentioned above, observation fields need to be designated that allow the monitoring of the immediate project environment as well as the project's interaction with the project environment. This includes:

- external influences on the project including observing the main risks (see Section 6.3)
- unexpected negative effects of the project on the project environment

Unintended results are not part of the results model, as it is only created for planning purposes[27]. For the results-based steering of a project, however, it is essential to observe unintended results and, if necessary, react to them. As a rule, unexpected results can, because of their unpredictability, not be monitored with previously defined indicators. This is similarly the case for unintended results and influential factors of external conditions (assumptions and risks). In these cases it is recommendable to work with explorative questions:

"What additional changes have occurred in the observation field?" This way it is possible to detect negative results as well. Further methods that do not require previously defined indicators or baseline data are documented in section 6.5.

It needs to be noted, however, that not each and every change can be categorised as a result. In addition to detecting and measuring changes, it is therefore vital to ask: "What are the benefits that result from this change, what are the disadvantages?"

27 For details, see: GIZ (2013) GIZ results model – FAQs, p.14

Only if a clear relationship can be established between the project intervention and changes that have actually occurred, can those be labelled (actually achieved) project results.

The observation fields and, if required, indicators for environment monitoring should form part of a survey of the initial situation (baseline study).

Observation fields for potential negative effects during the project are, for instance:

- Selection of target group: Resulting from (un)equal access to programmes in the light of ethnic, religious and cultural diversity, negative results can occur that may ultimately even lead to conflicts between groups involved in the project.
- Transfer of resources: Since projects always go hand in hand with the distribution or transfer of resources, local values need to be taken into consideration by the project in order to avoid conflicts.
- Intermediary organisations: It is also important to pay attention to the existing power dynamics between, for instance, the target group and participating organisations, or between the various institutions that work with the target group. Their different roles and influences within the conflict can have negative results on the project environment.
- Composition and conduct of project staff: The ethnic composition of the project personnel can, for example, lead to frictions and thus to negative results within and outside of the project. The conduct and communication of project staff with partners and the target group can also have effects, e.g. through implicit ethnic messages.

6.5 Survey methods[28]

To detect changes in the progression of the project, information needs to be collected **systematically and at certain intervals.** In order to measure the extent to which changes occurred against the situation at the outset, a baseline study must be conducted to assess and document the initial status quo (see Section 6.6). There are several different methods suitable for data collection. In the following, the methodological requirements for collecting data in (post-) conflict situations are identified and illustrated using examples:

Requirement for conflict sensitivity

The methods presented here do not differ fundamentally from regular results monitoring. They include the usual methods of empirical social research including well established participatory methods. However, the collection of information in (post-)conflict situations is always sensitive, both in its effect on those involved and with regard to the possible use of information by parties in the conflict. It should be noted, (for instance), that people who have suffered traumas can react sensitively in interviews. Another aspect is the confidential nature of information, especially where confidential personal experiences are concerned. To safeguard conflict sensitivity, the following aspects are important[29]:

- transparency of procedures
- credibility of those involved in data collection
- the attitudes of those involved in monitoring and their integrity
- the reflection of several different viewpoints, i.e. stakeholders and target groups from several different groupings should be included in data collection (in the case of (re-) integration projects, for example, ex-combatants and civilians)
- the selection of suitable data collection methods (i.e. group interviews or individual interviews[30])

As a general rule, those engaged in monitoring need to be well trained, reflect their experiences with data collection in feedback sessions and, if necessary, be coached.

28 This section provides leads to the process steps 4 and 5 when designing and using a results-based monitoring system (in particular section 4.7 and 5.2 in GIZ (2013): Guidelines on designing and using a results-based monitoring system (RBM system)

29 See attachment 4: check list "conflict-sensitive data collection and handling of data"

30 The example of the Congo shows that individuals interviewed alone are very insecure but that group processes can have a calming effect and stimulate discussion

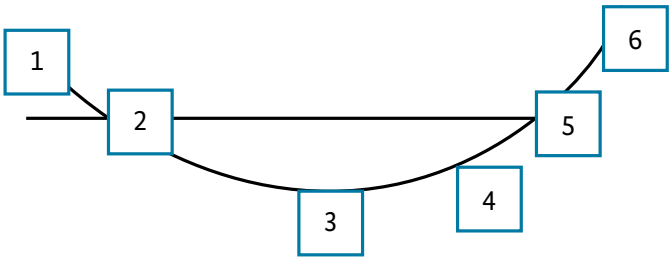
Selecting a method:

The use of simple, dialogue-oriented as well as visual, participatory collection methods that build on local insights and – where available – link in with traditional integration mechanisms are recommended. The advantages are:

- the views and interpretations of all those involved in the project are taken into account
- collective learning is facilitated
- dialogue between all the stakeholders and group reflection processes are made easier

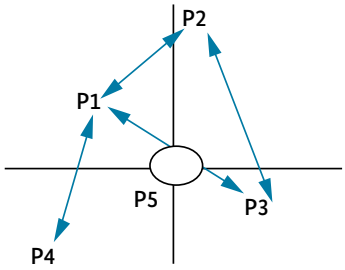
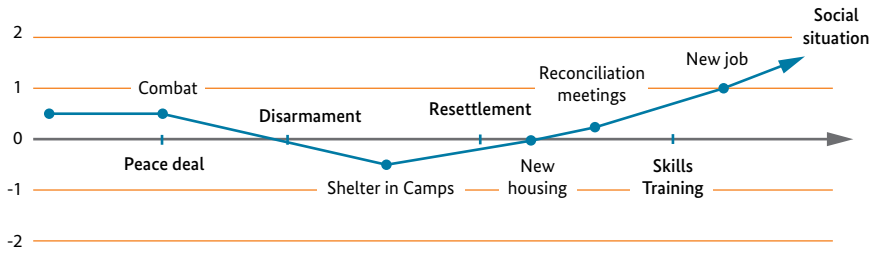
In addition to structured, individual interviews as a conventional method of measuring indicators at the goal level, a number of qualitative methods are particularly suited to the results-based monitoring of social integration.
Methods tested in the case examples mentioned above and other GIZ projects are described in an overview below [31]:

Table 5: **Overview of methods**[32]

Method	Areas of use
Biographic Interviews	Traditionally, biographic interviews are used in the fields of social work and in education to assist target groups/clients to recount their own personal histories and experiences in narratives that they themselves construct as far as possible. As part of the monitoring, the interviews serve to supply a deeper description of integration processes and to determine social integration milestones.  In the case of the Congo the following key questions were developed: 1. What happened when you separated from your family? (What were the reasons?) 2. What happened after that? 3. What was the most difficult moment? 4. When did the situation get better? (What happened to help it improve?) 5. Where did you go to then? 6. What are relations with your family like today? (How would you rate your position in society?)

31 Links to further information: http://www.ngo-ideas.net/publications/ u. http://www.methodfinder.net/

32 Knowledge of general sociological methods is assumed and no description is offered here.

Sociograms	Sociograms are created in order to gain insight into the existing relationships and networks within a community. Similarly to the stakeholder landscape, relations between the various stakeholders are illustrated. In order to be able to demonstrate changes over time, sociograms need to be made at the start of an intervention and repeated at intervals. This method is well suited to visualise changes in the relationships in a local community and to draw conclusions on the degree of inclusion.  P1 – Ex-combatant P2 – Siblings P3 – Village elder P2 – Neighbour P2 – NGO The circle in the middle represents the respondent
Focus Group Discussions (FGD)	Focus group discussions can be used when surveys are made of the situation of groups. This method is used in qualitative social research. Unlike group interviews, those taking part in the FGD must have a common background of experience. The method employs key questions being systematically discussed under the guidance of a moderator. In contrast to individual interviews, group interviews create a context where different viewpoints can be exchanged and issues can be explored amongst the participants. The focus group discussion is a suitable cost-effective survey method for most of the indicators listed in Table 1. The main disadvantage is that "opinion makers" can dominate the discussion and distort the results. A detailed description of this method, its possibilities and limits and a link to the indicators described in chapter 6 can be found in attachment 6.
Life lines / trend analysis	Life lines are used to analyse developments and to clarify which gross-results[33] resulted from certain events. This makes it possible to record changes over time without baseline information. A possible example of a social integration trend analysis of internally displaced persons:  A lifeline or trend analysis is usually drawn up in the context of moderated workshops with a group of people, but it can also be done individually.

33 All changes occurring that result from a certain occurrence

Influence Matrix

An influence matrix is applied to analyse the influences that individual interventions may have on observed changes (or on criteria that need to be observed) and to survey net effects[34]. In order to do this the essential changes (or criteria of integration) need to be identified in a first step. The second step is to define the key interventions. In the third step the influence of each group of interventions on each and every change (or integration criteria) are identified.

Social Criteria	Project activities			
	Reconciliation Meetings	Psychological Support	Skills Training	∑ passive
Acceptance				
by family	2	3	1	+ 7
by friends	1	2	2	+ 6
by Neighbours	4	3	0	+ 9
Collective Action and cooperation				
with Family	1	2	3	+ 6
with Friends	3	1	3	+ 5
with Neighbours	4	3	4	+12
Trust and solidarity				
with Family	2	4	1	+11
with Friends	3	3	2	+11
with Neighbours	4	3	1	+ 9
∑ active	**+ 24**	**+ 24**	**+ 17**	

Key:
0 = no influence
1 = slight influence
2 = medium influence
3 = pronounced influence
4 = very pronounced influence
"-" before a figure means a negative influence

Ideally the influence matrix is combined with a trend analysis (determination of gross changes) in order to be able to distinguish the gross changes from the net results of the project. As with life lines, this method does not require indicators. Experienced moderators are needed for its implementation.

In order to ensure standards such as reliability, validity and objectivity in the course of results monitoring[35], it is vital to apply several methods and compare ("triangulate") the results. Triangulation is suited to verify data that are collected empirically and to balance the weaknesses of one method with the strengths of another.

6.6 Recommendations for results-based monitoring in social integration projects

Requirements of monitoring systems and processes:

As described above, social integration is an intricate and at times lengthy and multi-dimensional process that goes through several phases. Additionally, most social integration projects take place in conflict-sensitive settings. This results in the following specific requirements in respect of results-based monitoring:

- context-specific design i.e. adequate attention is given to the specific context in terms of cultural, conflict and gender aspects
- a differentiated description of results levels and contexts in order to be able to fully reflect integration processes and to be able to check the selected hypotheses in the course of project implementation
- where possible involve intermediaries and target groups when indicators are formulated
- formulate mile stones for integration and indicators alongside the "integration steps"
- check results and process indicators regularly with respect to their relevance
- include the various perspectives of stakeholders in surveys
- plan for a variety of methods and triangulation
- in integrated projects, make sure to design the monitoring system in a way that it addresses the links/ synergies between project components

34 Results that can be causally attributed to the development measure

35 See GIZ GmbH 2011, "Wirkungsmessung im Bereich Berufliche Bildung und Arbeitsmarkt, Page 30ff

Conducting regular testing of the validity of the results hypotheses and indicators is necessary and should be grounded within systematic procedures and structures as well as reflection processes. Creating a shared dialogue on and opportunities for reflecting on monitoring results with the participants of the integration process should be an integral part of the monitoring system.

Participation of various stakeholders and target groups in the monitoring:

- enhances ownership
- allows for a shared learning process taking into account the different perspectives of the participants
- "good practices" are identified and can be applied
- contributes itself to the integration process

As in any monitoring system, the roles and responsibilities in data collection, data processing and interpretation have to be clarified and the application of monitoring results needs to be ensured.

Efficient handling of monitoring:

A common challenge is the efficient design and implementation of monitoring systems. It is considered good practice to integrate results-based monitoring as far as possible into the implementation of a project and related processes within the intermediary organisations. Accordingly, monitoring activities can, for example, be integrated in regular project activities or events such as camps for young people during youth exchange programmes or regular meetings of those who have completed a training unit.

Baseline survey for measuring social integration:

Baseline studies make it possible to show processes of change throughout the course of an activity allowing for the development of needs-oriented measures and the effective and sustained steering of projects.[36]

In a baseline study, initial values (baseline) are determined that serve as a point of comparison in measuring the achievement of a goal. For this purpose, a list of indicators is required that depict the goals of the activity, monitor the extent to which the goal is achieved in a target/actual performance comparison and document the measure right through to the end [37].

In practice it often occurs, that partners and intermediaries do not have baseline data and complex and time-consuming surveys are challenging in the light of the usual pressure and workload the organisations deal with while implementing a project. For this reason a baseline study should be planned at an early stage and, if possible, incorporated into the situational analysis.

In order to measure the extent of social integration, data on the individual situation of participations need to be collected before or at the start of the measure in order to gain comparable data on the development of each individual participant before and after the measure. Baseline data can, for instance be collected during a selection procedure for training programmes.

Both qualitative and quantitative methods can be used for the survey. In selecting a method, a balance has to be found between the need for and availability of resources, the focus of interest and the need for methodological soundness of the collection of data.

The social integration outcome indicators defined in chapter 6 serve as a basis for the survey and these have to be operationalized for the baseline survey. The following table gives examples of indicators which could be applied in a survey:

36 cf. Handbook entitled "Baseline-Erhebung - Ein Leitfaden zur Planung, Durchführung, Auswertung und Nutzung der Ergebnisse" (GTZ 2010)

37 cf. GIZ GmbH 2011, Wirkungsmessung im Bereich Berufliche Bildung und Arbeitsmarkt (Draft)

Table 6: **Indicators for social integration**

Indicator	Operationalization by key questions
1.) (a) **membership** in and (b) **intensity of use of social networks** (SHGs, cooperation, family, kin, neighbours, etc.)	(a) What kind of social networks are you involved in? Family, kin, SHG, cooperation, other (b) How often do you use these social networks? • personally present? (i.e. never, sometimes, often, always) • participating in decisions? (i.e. never, sometimes, often, always)
2.) Type and extent of **participation in joint activities** in the local community (making a contribution to the community)	• Do you take part regularly in joint activities? (i.e. never sometimes, often, always) • What community activities have you already taken part in? • What responsibilities did you have as part of your participation?

On the basis of the results of the baseline, the objectives indicators can be assigned the most realistic values possible. For the indicators used here this could be as follows:

a. 80% of participants report membership of a self-help group (SHG) after completion of the programme
b. 70% are regularly present at SHG meetings and take part in SHG activities

Baseline data must be subsequently available to internal and external participants. The results must be presented to the various groups at an early date and in a form they can understand (language and content).

Attribution and reliability of results:

Development projects are increasingly being confronted with the demand to produce "reliable" information on the effectiveness of measures. The central criteria include:

- attribution, i.e. attributing a change to an output in the project (causality assumption)
- the verifiability of data collected and conclusions reached by the formation of control groups[38]/ comparison groups[39]
- and the representative selection of respondents

In the context of social integration in conflict situations, the demand of collecting reliable data cannot always be met. On the one hand, as described above, straightforward cause-effect assumptions with regard to social integration are often unsatisfactory.[40] It is rather the case that complex social networks and influences have to be observed and taken into account simultaneously (see chapter 6.3). This is why dialogue forms of monitoring are useful in such contexts. On the other hand, experimental and semi-experimental designs[41] are only useful to a limited extent in conflict contexts as there are ethnic and moral problems.[42] If there is any doubt, ensuring conflict sensitivity should be prioritised against the demand for reliable data.

38 Control group in experimental research describes the "untreated" group in a study who are, however, the same as the experimental group in all other respects. The target had to be divided into two groups, for instance, one group to be given support and another that got no support.

39 Allocation is undertaken without randomisation after the start of the development measure.

40 cf. Also the guideline "Berufliche Bildung und Arbeitsmarkt – Monitoring und Messung von Wirkungen", Section 5.1.4.

41 Ibid. Section 5.1.1. - 5.1.2.

42 In the case of an experimental design, a randomised group would gain output from the project and another group be excluded but still be "under observation". At the same time surveys can awaken expectations which cannot be fulfilled by the project.

One alternative is to conduct a cross-sectional comparison as shown in the case study example:

Interviews in Maniema included the immediate target and selected individuals that have not participated in project interventions. The aim of the study was, in addition to comparing the gross changes in both groups using biographic interviews, to assess the role of social networks with respect to the economic success and social integration of the groups. The results of the survey could subsequently be compared. The comparison group was selected from a comparable socio-economic background – the informal market. Start-up entrepreneurs sponsored by the project were compared with young market women who had not been funded by the project or any other project. Criteria for the comparison were age, comparable social class and ethnic background.

One important factor for the reliability of data is the *before/after comparison* with which results can be attributed to a programme. Carrying out this kind of comparison requires less effort. The qualitative methods mentioned above can also be applied here in order to make result contexts more plausible. These methods are well suited to results monitoring in complex social integration situations because of their open approach and closeness to everyday life.

Young people are often highly mobile and this makes it difficult to select a *representative group of respondents.* It is therefore recommendable to achieve representativeness by using a variety of methods and triangulation rather than using large samples.

The challenges in the way of adequate sampling during surveys become clear in the following report:

Excerpt from a report on the experiences with results monitoring in "Economic and social integration of ex-combatants – GIZ project on rebuilding vocational training in Aceh-Indonesia": A simple, randomised selection of respondents could not be applied for the following reasons:

- problems in finding many participants (ex-combatants) who had left their original homes and could no longer be located
- search using telephone contacts was often not possible due to data security (not all participants were willing to give their telephone contacts to the project)
- searching for people in remote districts involves a lot of expense and time
- security: Not all places of origin could be visited because of the security situation
- not all persons were available for interviews at the given time

Respondents were hence selected on the grounds of their traceability and availability at interview dates regardless of their origin and the type of training.

Using monitoring for steering and for learning:

Results monitoring facilitates steering of development projects in a solution and goal oriented way. When measuring social integration, the analysis of current status is able to identify problems in the integration of young people of which the causes can be many and varied. What is relevant is the search for solutions in general and for the project in particular. The following questions can arise in this context:

- What can the project contribute to the solution of unforeseen integration problems, i.e. (a) by adapting strategies and implementation or (b) by new cooperation models?
- To what extent is the project conflict-sensitive? What unexpected (positive or negative) results occur and how should these be addressed?
- What can we learn from our experiences? How can these learning experiences be reflected in future strategies, concepts and methods?

Integrating results-based monitoring in partner structures:

The question of incorporating results-based monitoring in partner structures – i.e. in the context of fragile states with weak institutions is largely unresolved. As a first step the awareness for monitoring among partners has to be created and they have to be involved in monitoring activities (particularly in the reflection of results) as far as possible. As part of a stronger emphasis on development oriented, capacity development measures (as opposed to the emphasis on rebuilding in (post-)conflict situations) concrete actions to integrate results-based monitoring in the structures of partners should be initiated.

Attachment 1: Development Policy in the Context of Conflict, Fragility and Violence – markers for peace and security[43]

The topic peace and security has undergone considerable development since the introduction of the "cross-sectoral strategy on crisis prevention, conflict transformation and peace building in German development cooperation". A general orientation for the objectives and fields of activities for peace and security is provided by the World Development Report published by the World Bank in 2011. The report emphasises the need to prioritise "security, justice and jobs" in order to overcome state fragility, conflicts and cycles of violence. Additionally, a central foundation is formed by the five Peacebuilding and Statebuilding Goals (PSGs) which were jointly adopted by fragile states and development partners in 2011 at the conference "New Deal on Engagement in Fragile States"[44].

In addition to the PSGs German development policy has determined three additional objectives for supporting peace and security:

1. Addressing the causes of conflict, fragility and violence
2. Improving the capacity for non-violent conflict transformation
3. Creating the environment for peaceful and inclusive development

A new marker system for peace and security was developed on the basis of these objectives, replacing the former "cross-sectoral strategy". The system is guided by the marker system of the OECD Development Assistance Committee (DAC). It intends to categorise development contributions by differentiating whether (a) peace and security is the principal objective of a development measure or (b) only a key secondary objective. It contains the following categories:

Table 7: **Marker system for peace and security**

Marker system for peace and security	
FS 2	Peace and security are the objective (anticipated long-term result, programme and/or module objective) of the development measure, i.e. are key to its implementation. This can be verified by asking the question: "Would the measure have been undertaken even without this development objective?"
FS 1	Peace and security is a key secondary objective (sub- aspect of the programme or module objective, output), but not one of the main reasons for carrying out the development measure.
FS 0	Peace and security are not the focus of the development measure.

43 According to the BMZ strategy paper 4/ 2013e: Development for Peace and Security: Development Policy in the Context of Conflict, Fragility and Violence.

44 Ibid. Page 11

Projects for (re-)integration of ex-combatants or prevention of urban violence are typically rated FS 2 as they directly address key peace and security issues. In such a project vocational training and employment promotion may be one element within a wider set of project activities directly aiming at promotion of peace and security. Most of the GIZ projects in the area of vocational education and training and employment promotion, carried out in countries that are affected by conflict, fragility and violence and high levels of youth unemployment, may be assigned to the marker FS 1. In this context the promotion of peace and security is a key secondary objective but not the main reason for implementing the development measure.

Attachment 2: Glossary

This glossary explains the terms frequently used in the guideline. Most of them are taken from the following GIZ website: http://www.giz.de/expertise/html/1933.html

Do no harm principle

The Do No Harm approach, developed and propagated by Mary B. Anderson in the 1990s, has been accepted as a foundation for conflict-sensitive aid and development interventions by international humanitarian and development actors. It is a guiding principle for German development cooperation (BMZ Strategy Peace and Security 2013: p 19). A key element of the approach is to recognise, avoid and cushioning possible unintended effects of humanitarian aid and development cooperation that may lead to aggravation of conflict, fragility and violence. This means that the design of interventions and operative aspects in project implementation need to be closely analysed and monitored for assessment of the conflict relevance, conflict risks and actual effects of the interventions.[45]

Fragile states

At the international level fragile states are defined by various different indicators. The BMZ regards states as being fragile if a state is not able to fulfil its basic functions in the areas of security, the rule of law, basic social services and legitimacy. Fragile states are "those in which state institutions are very weak or at risk of collapse, and whose populations suffer from wide¬spread poverty, violence and arbitrary rule".[46]

Peace promotion, peace building

Peace promotion and peace building measures have a medium and long-term effect and serve to build up peaceful conflict management mechanisms (see conflict management), the surmounting of the structural causes of violent conflicts and hence creation of the necessary framework for peaceful, just development (peace building).

Conflict

The term conflict is used to describe the relationship between two or more mutually dependent parties of whom at least one perceives the relationship as negative or identifies and pursues opposing interests and needs. Both parties are convinced that they are right. Conflict is a necessary part of social change. Conflicts should be solved in a peaceful, constructive way. In phases of profound socio-economic change and political transformation, i.e. situations in which opportunities and ways of participation are being redistributed among various groups, conflicts can easily escalate into destructive crises affecting the entire society. Development cooperation should contribute to preventing or overcoming violence as a way of dealing with conflicts.

Conflict management

Conflict management measures are an attempt to exert a regulating, violence preventing and terminative influence on the way conflicts develop. They aim to bring about constructive solutions from which all involved can benefit.

45 Source: http://www.donoharm.info/downloads/level000/Seven_Steps_English.pdf

46 http://www.bmz.de/en/what_we_do/issues/Peace/fragile_states/index.html

Crisis prevention

Crisis prevention includes timely, planned, systematic and coherent action at various levels of government and society to prevent violent conflicts. Measures designed to prevent crisis have the following objectives which apply before, during or following violent conflicts:

- reducing the potential for the violent progression of conflict
- building institutions, structures and "cultures" for dealing peacefully with conflicts.

Social competences

The definition and interpretation of the term social competence varies according to different cultural areas, environments and age groups. Generally speaking it describes the ability of a person to demonstrate appropriate and flexible forms of social behaviour. This can include both a person's overall functioning as a member of society and the ability to build and maintain interpersonal relationships. Social skills include so-called soft skills like empathy, readiness and ability to cooperate (such as the ability to learn and work in groups), communicational skills, readiness to take on responsibility, self-assurance and conflict management skills.

Life skills and the life skills approach

A life skills approach aims to strengthen a person's cognitive, personality-related and social competences in order to facilitate appropriate dealings with other people and with the problems and stress of everyday life. The aim is to give individuals and particularly young people the opportunity to develop self-esteem and courage to face life so that they can lead active, creative lives and overcome difficult phases in their lives.

Core elements of life skills training are:

- self-confidence/self-concept: self-respect, self-reflection, a responsible attitude to oneself (health, HIV, diet, drug abuse, etc.).
- social consciousness: empathy, tolerance, learning to respect the differences between groups and individuals.
- relationships: resistance to group pressure, learning to deal with conflicts (for instance within the family: learning to communicate constructively with parents).
- responsible decision making: collecting information, critical reflection, weighing up of consequences.
- "self-management": coping with stress and anger, learning to control impulses, setting goals, learning how to handle money and goods.

(Re-)Integration

Integration is a sociological term describing the integration and particularly the acceptance of individuals in their groups. The recognition of an individual as a member of a group or of society is of central significance here.

Reintegration, on the other hand, refers to social and economic processes in which displaced persons or ex-combatants are reintegrated into society.

The term inclusion comes from Latin and refers to the inclusion of something that is of a different nature. Borrowing from the rights-based approach, the term emphasizes the entitlement of all people in society – regardless of their socio-economic, ethnic or religious origins and gender – to the fulfilment of their personal rights, as, for example, equal access to education and health systems.

Social inclusion, on the other hand, can refer to the participation of various individuals and groups who are "different" as equal actors in society, in a community or in a group.

In this guide the synonym (re-)integration combines the three terms.

Post-conflict

There is no internationally uniform definition for the term "post-conflict". The BMZ derives its categorization of conflict and post-conflict countries from the classification used in the early warning system. In this system, countries are said to be in a post-conflict phase at least one year after a violent conflict has been ended by a cease fire or a peace treaty. It is generally accepted that a post-conflict phase last for a maximum of 10 years after the end of violent conflict.

In this attachment, the following sociological concepts are discussed in direct reference to social integration:

- social capital theory
- recognition theory
- cultural concepts

Attachment 3: Underlying socio-scientific concepts

Part 1: Social capital

Social capital, definitions and explanations

In the literature the concept of social capital is contentious. Although many studies have focused on the role of social capital and its positive effects, there is neither an agreed concept nor a generally accepted definition of the term. Nevertheless, this concept allows us to look at aspects that were hitherto practically unexplained, as, for instance, the question as to whether social and cultural attitudes lead to improved participation in the economy on the part of a certain group and hence to their economic development.

The term social capital was first used in sociological research by authors such as Bourdieu in the 1980s. In the early 1990s, Robert Putnam used the term again and gave it a new definition. According to Putnam, social capital is the nature and extent of involvement of individuals in informal networks and social organisations which have positive effects for the individuals themselves and also for social groups. The concept has since been revised and become part of a great variety of disciplines.

Although the definition of social capital differs from one author to the next, two approaches can be identified in the various different concepts. The first approach, which includes Putnam's understanding of the term, and which is often associated with institutional economy, refers to the **level of society.** The focus here is on the social capital of a society or community, i.e. of their organisational structures, networks, institutions, and the attributes thereof. It is assumed that communities with high social capital are productive since networks based on trust and cooperative models reduce the costs of transactions, hence benefitting economic exchanges.

The second approach deals with the **individual level.** In this context, social capital describes the ability of an individual to find access to and build on resources by means of social contacts, networks and connections. A person can, for example, use their social capital to find a job, acquire money in emergencies or gain access to important information. In this sense social capital can be regarded as an asset that can be used in the same way as any other kind of asset.

The six dimensions of "social capital"

According to the World Bank (2004), a person's social capital can be measured in six dimensions:

- number and intensity of groups and networks in which a person is involved
- the degree of trust and solidarity that binds a person to their surroundings (neighbours, family, society)
- the extent of community activities and cooperation with members of the community
- the extend of exchange and communication amongst members of the community
- existing social cohesion and inclusion
- empowerment and options for political action, meaning control over institutions and the ability to influence events and political outcomes.

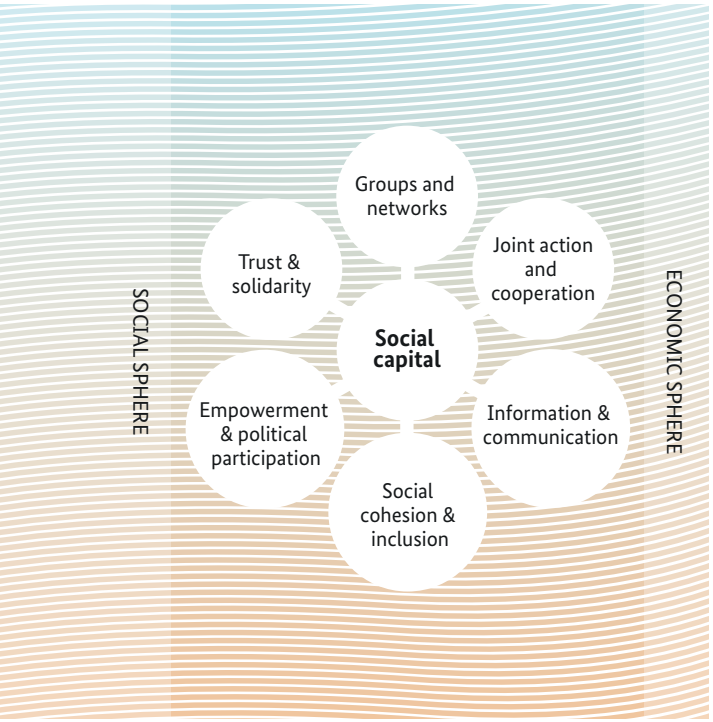


Figure 8: **Dimensions of social capital**

Trust and solidarity are regarded by many as the basis of social relationships and interactions. Without a certain degree of trust in the good intentions of other people, no cooperation would be possible; out of fear of abuse or fraud, for instance. Trust between people is hence a necessary prerequisite for "social capital".

The next dimension, **groups and networks,** describes the quantity and quality of the relationships that individuals maintain with their fellow human beings and with social groups. The more a person is involved with groups and networks, the more potential social contacts this persons has and can use these to gain access to key resources.

Collective action and cooperation follow a similar path. They require an exchange of resources. The scope of engagement and the type of collective action influence the resources on which an individual relies.

The fourth dimension, **information exchange and communication,** determines the degree and kind of information to which a person has access. Information is an important resource as it simplifies actions and transactions. The broader the outreach of a person's paths of communications and information exchange is, the more "social capital" that person can acquire. This requires certain communication skills (verbal communication as well as the ability to read, access to modern media, etc.) which can have a positive influence on the exchange of information.

The dimension **social cohesion and inclusion** indicates that the nature and scale of separating factors (dividers) and the social differences within a society correlate with the likelihood of conflict. At the individual level, this dimension describes a person's ability to accept general values and morals and to adapt to general norms and rules. If a person is not able to adjust to generally accepted norms or rejects conventional values, this can lead to conflict with other people or to exclusion from the networks and groups that foster "social capital".

Finally, **empowerment and political action** describe the extent to which individuals are able to influence those institutions and processes that impact on their wellbeing. In many developing countries, this is closely linked to so-called patron-client relationships which facilitate or govern access to political and economic resources.

Social capital and social integration

According to the GIZ guidelines on "Concepts and Experiences of Demobilization and Reintegration of Ex-Combatants", social capital needs to be created at the individual level and processes of understanding and reconciliation need to be introduced in order to promote social integration.

Social integration and "social capital" are interdependent, meaning that improved social integration promotes "social capital" and the development of "social capital" promotes social integration.

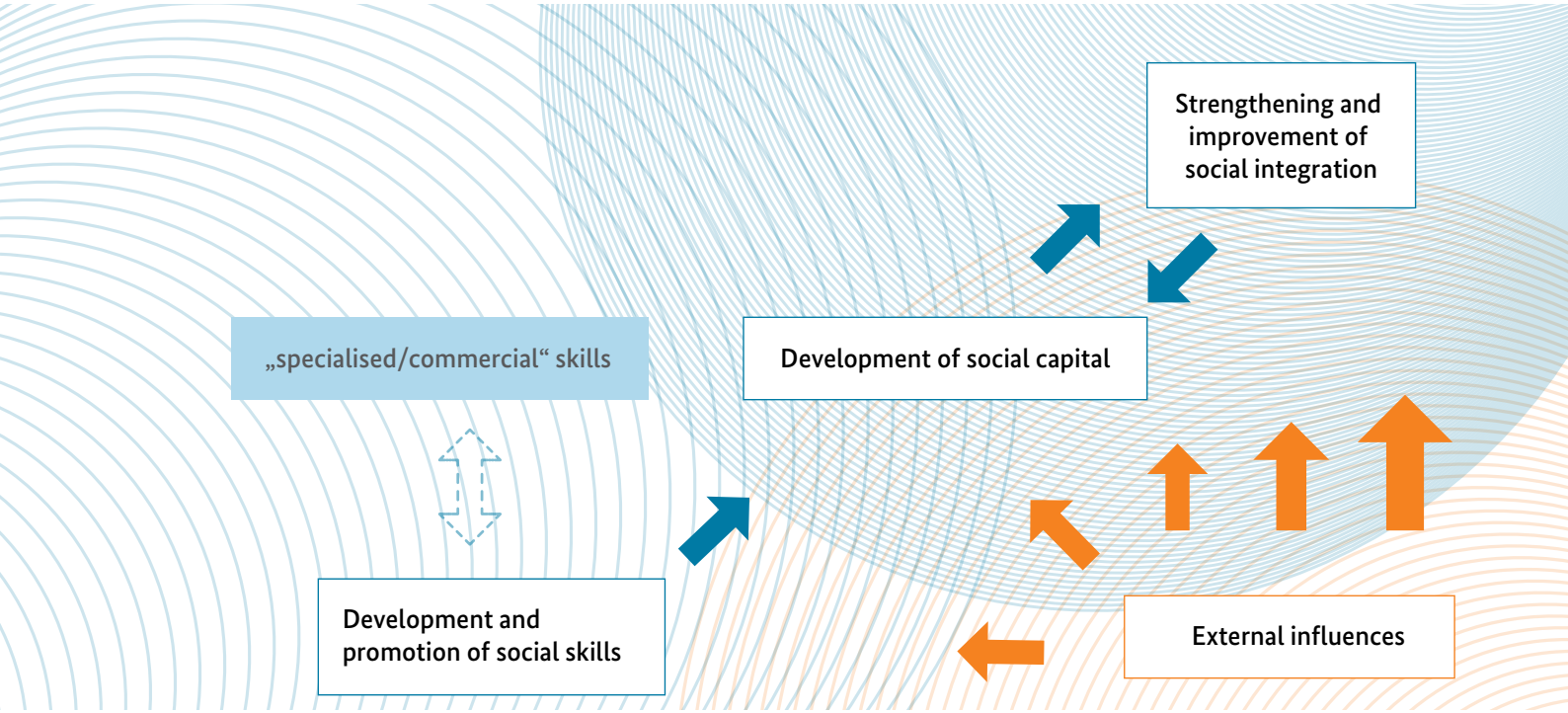


Figure 9: **Social capital and social integration**

Building social capital

The amount of a person's social capital depends on a variety of factors. To a certain extent it is determined by social and political circumstances, as, for instance, by the prevailing political system, institutions and culture and by whatever social structure is in place. According to Hofstede's model of cultural dimensions, societies can be either collectivist or individualist. According to this theory, the social capital of citizens of societies with a high level of collectivism is usually greater than in individualist societies in which people value more personal freedom and autonomy.

The influence of political, economic and social conditions is termed external influence and can only be addressed to a certain extent by interventions on the individual level. Ultimately, this external influence seems to also be shaped by history and can hence only be changed over longer periods of time and at the level of society.

In addition to external influences, a person's "social capital" is also influenced by access to social networks and groups. In particular, in societies with a clear distinction between the social classes, access to social networks and groups is often determined by the social class which an individual was born into. Access can also be determined by other external influences such as conflicts and displacement. Here development interventions can attempt to re-establish connections between conflict-affected groups and social networks. Placement in informal apprenticeship in MSMEs can, for instance, facilitate inclusion into new circles, groups and networks.

A decisive factor in acquiring "social capital" is an individual's social competence. People who have a friendly, pleasant manner in dealing with others and who can adjust to prevailing norms and values usually have a better chance of accessing or being included into groups and networks. They can also gain the confidence of others more easily and have better access to information. "Life skills training", for instance, makes it possible for young people to acquire social competence which in turn creates a basis for the acquisition of social capital.

The challenges posed by "negative social capital"

A high level of social capital has a clear, positive effect for all individuals. As mentioned before, "social capital" helps generate necessary resources and this in turn boosts economic, political and social activities. Yet there is a wide consensus in the literature that an accumulation of social capital can foster the interests of an individual but not necessarily benefit society as a whole.

Examples have shown that individuals, entire groups and networks can build up "social capital" at the expense of others. Undemocratic, violent groups can use their "social capital" to marginalize other groups and thereby create the basis for violent conflict.

The literature usually distinguishes between bonding and bridging "social capital" in explaining the various effects of the generation of social capital. Bonding social capital evolves from networks, trust, and the exchange of information between people who share characteristics such as ethnic identity, religion, age, job, social class, etc. Bridging social capital, on the other hand, links people with different characteristics and is hence able to overcome divisions and differences within society.

Unlike conflicts between nations, which usually arouse a feeling of unity in the population and thereby strengthen relationships, conflicts and civil wars within a country significantly weaken the social structure. During the genocide in Ruanda, for instance, the amount of bonding social capital in the group of Hutu militia was particularly high, but bridging social capital (needed to overcome the differences between the ethnic groups) was almost non-existent.

Building social capital is particularly complex in (post-) conflict countries. It should be considered to not strengthen bonding relationships within a group that was previously involved in the conflict. Instead, project interventions should aim to strengthen the bridging capital between groups in conflict.

Conclusions to be drawn for results-based monitoring

"Social capital" and social integration are highly interdependent – and the concept of social capital reveals important starting points for results-based monitoring. The six dimensions of social capital can be used in this process as "observation fields". These are:

- belonging to groups and networks
- building social relationships (between individuals and groups)
- access to and exchange of information
- participation in communal activities and neighbourhood assistance in the community
- participation in and influencing of decision making processes (within groups, in the local community)
- trust (individual, between groups)

In conflict-sensitive monitoring, a distinction should be made between positive and negative social capital. It follows that bridging social capital is a key peace building aspect (connector) as it connects people with different characteristics (i.e. ethnic groups).

Part 2: Recognition theory

Whereas the theory of "social capital" talks about a social resource that can be developed and used, the recognition theory addresses the motivational level of actors in society and regards battles for distribution in society primarily as part of the struggle for recognition.

Background

The recognition theory was largely developed by Axel Honneth, head of the Frankfurt School as a centre of critical theory. This theory is now part of the international discourse and is gaining in importance in social research. The theory argues that it is the avoidance of degradation or disrespect that should be the normative goal, rather than normative orientations in political philosophy, demands for the removal of social and economic inequalities and hence the influential idea of justice Central categories are dignity and respect of individuals and groups and not equality of distribution or equal distribution of assets.

Political disenchantment or heightened moral perceptiveness of the fact that the dignity of the individual or of groups is an important part of our understanding of justice may be responsible for this shift in normative orientation. This aspect is gaining ground, particularly after experience with the genocides of past centuries. Mass exterminations such as the Holocaust or the genocides in Ruanda were conducted by means of organised humiliation and debasement of entire ethnic or religious groups. The Tutsis in Ruanda, for example, were degraded to the status of animals (such as cockroaches or snakes).

Core propositions

Without *recognition,* members of society are being deprived of one of the key dimensions of inclusion. What is involved here is giving another person recognition in the form of added value on the grounds of certain qualities or achievements. The sociology of recognition acquires further import when seen in a global context[47]. The other person must be seen and recognized with all his or her experiences, competences and identity in a specific historic and cultural context.

Even when material goods are the ostensible bone of contention, underneath there is always the human need for acknowledgement, love, appreciation and respect. Economic hardship, social and political repression and subjection were never enough to trigger revolt; the individual experience of personal integrity being violated was always an essential ingredient.

Honneth differentiates between three levels of social recognition: Recognition is given in the form of love, justice and solidarity, or – the flipside – is not given or withdrawn in the form of maltreatment, deprivation of rights and degradation.

47 Payet and Battegay. 2008

Table 8: **Three types of disrespect**

Three types of disrespect	**Three relationships with mutual recognition**	**Practical consequences for working with young people in (post-)conflict situations**
Physical maltreatment • Loss of control over one's own body • Maltreatment • Torture	**"Love"** The primary experience of affection and trust in relationships, self-confidence	Young people's needs are recognised: • security and a place to live • a place to learn and catch up on education
Violation of normative self-identity by deprivation of rights • Exclusion from rights that are valid in a society • Lack of status of an adult person	**"Rights"** Interaction with a "generalised other" as beneficiary of equal rights	They claim their rights and organise themselves with others: • learning together • coming to terms with the past as a group • shaping the future by entrepreneurship training
Violation of the social status of a person/group by degradation • Degraded in the social scale and classified as inferior • Not worthy of social recognition	**"Solidarity"** Self-esteem as prerequisite for solidarity and recognition of and by others	They become social and economic actors • organise themselves in production groups • assume roles in social life

Social recognition according to Honneth:

Experiencing disrespect is always accompanied by emotions that tell a person that society is denying him or her a certain kind of recognition. These emotions – positive and negative – are linked to experiences gained from specific actions. So when actions fail because of the violation of an accepted norm, this leads to moral conflict in the social world. The form and manner in which recognition is experienced and given is shaped by history and culture. This means that the experiences expressed by their subjects as disrespect have to be assessed morally, which calls for normative standards, a concept of a good life and material fulfilment. To define this good life the meaning of material fulfilment, Honneth sees the historically developed prevailing recognition systems in a society as the necessary frame of reference.

In the chapter on recognition as the driving force behind groups[48] it is described how the "development of ego of the subject" evolves through phases of internalising social response behaviour. The phases of this positive self-relationship are self-confidence, self-respect and self-esteem. The subject needs to be a member of a social group that works as a mirror of the "recognition behaviour" in order to maintain a positive self-relationship. "Me" seeks "us" in a common group experience because the ego requires social recognition which takes on the forms of direct encouragement and confirmation: "it is not able to sustain either its self-respect or its self-esteem without the kind of support it experiences in acting out shared values within a group."[49]

48 Honneth 2010 S.261ff

49 Honneth. 2010. S.279

Relevance of recognition theory for the social integration of young people

Provided that the specific historic and cultural context is recognised and included in the overall concept of development measures, the recognition theory can be applied in the following way in both the design of social integration measures and also in results-based monitoring:

- After conflicts in which young people have often been exploited, they tend to seek recognition as young adults and as a new generation. In this process, looking after their basic needs, such as a safe home, is an important first step. Subsequently young people seek success in school. Any exclusion experienced, from the public education system, for instance, is seen as discrimination.
- In the critical transition from school to work, access to economic resources such as land or employment plays an important role in enabling young people to be economically active and able to take their place as a successful member of society. External social and economic factors have a major influence here.
- Young people need the group to strengthen each other's self-confidence and self-esteem and to give each other mutual assurance. In this process they also refer back to old moral values which used to apply and gave emotional security (gangs, for instance, in which everyone has the same rights and obligations and equal values are agreed upon). Together they learn that they can only be successful as a group; the failure of one group members affects the entire group ("I won't make it without the others; the others won't make it without me").
- Young people increasingly demand recognition and respect from the political setup and from the older generation. This is also influenced by exposure to modern media. This leads to a growing conflict between the generations, especially in societies where traditional structures clash directly with the modern world. One result of this is the rapid urbanization of many parts of Africa. Social integration measures must therefore also address the participation by young people in public life.

Consequences for results-based monitoring

The factors described in the recognition theory and the integration milestones can be used in results-based monitoring. In the East Timor and Eastern Congo case studies (both of which were (post-) conflict situations), biographic interviews with conflict-affected young people helped identify problem areas and integration phases which are useful for monitoring integration processes:

1. Experiencing abuse from parties involved in violent conflict, experiencing violation of prevailing norms:

- threat is reduced
- increased feeling of security

2. Loss of family and social ties:

- young people have a secure place to live in
- are incorporated in groups and building first new relationships
- have access to psycho-social counselling

3. Prevention of the development of individual identity as result of conflict:
- young people gain access to adequate education and vocational training programmes enabling them to catch up; the feeling of exclusion is reduced
- they acquire social competences and competences relevant to create income
- their self-confidence increases

4. Experiencing social discrimination/ lack of participation:
- young people can use the acquired competences to become integrated in socially recognized groups and are active
- they are listened to in the community and feel that they belong
- they participate in decision making processes in groups

For the methodological aspects of monitoring, it can be stated in summary that:

- young people have their own views on recognition, this cannot be determined from outside, the participation of the target group in the formulation of indicators is thus of central importance.
- But there are still universal criteria to define recognition (see above) which are useful in deciding on the design of integration measures and monitoring.

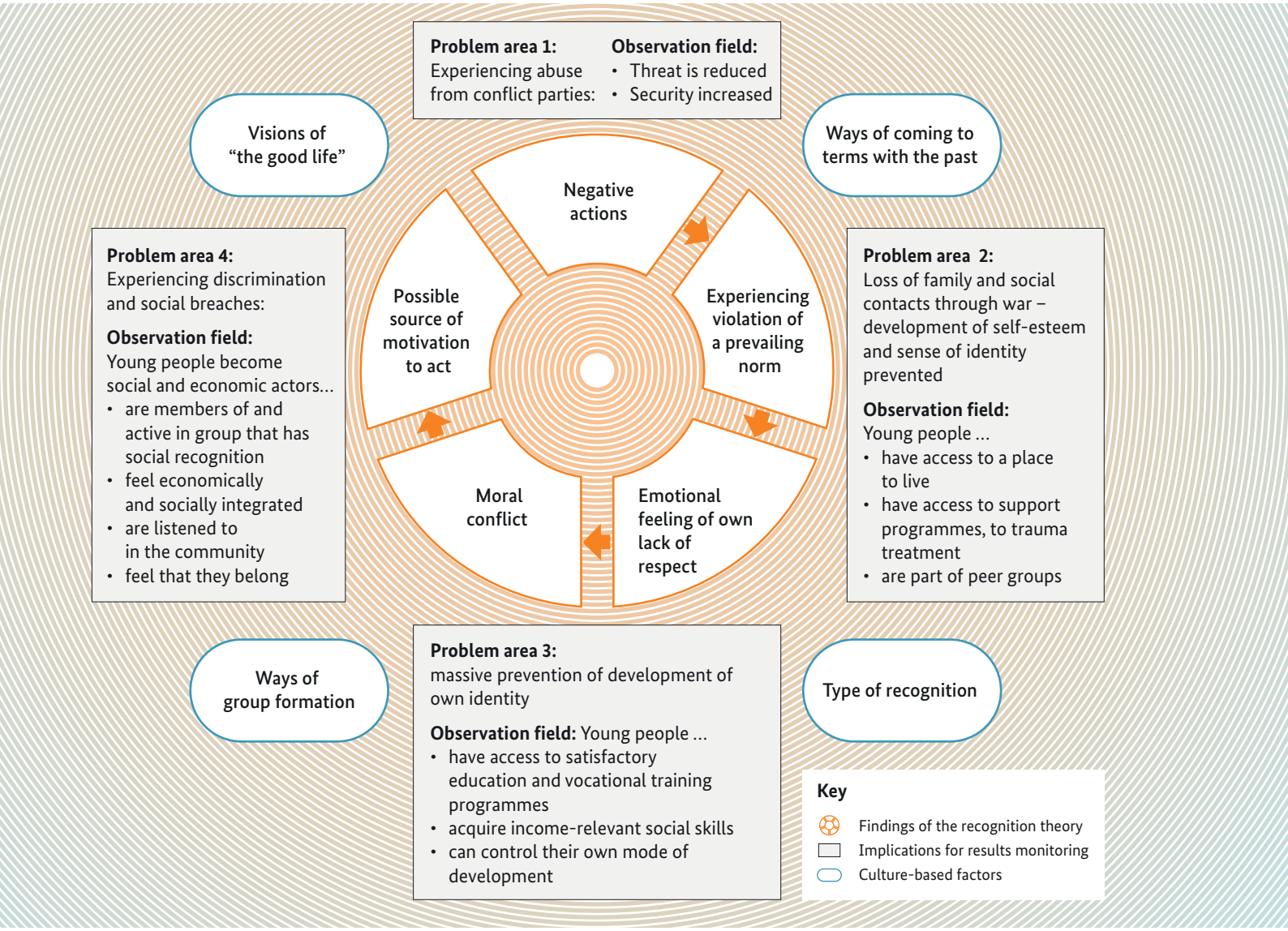


Figure 10: **Use of recognition theory in results-based monitoring**

- The specific cultural and historic dimension (see next section) has an essential influence on the definition of recognition and integration in the local context, meaning that indicators and their definitions and specifications are only transferable to a limited extent and need to be worked out in the respective local context

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Part 3: Cultural concepts

Basic understanding

In an attempt to understand "non-western" cultural contexts, the literature uses terms like *polylogical (multi-value logic)*[50] or *multisitué (taking in various different perspectives)*[51], to make it clear that Western logic has no universal meaning. Instead, meaning should be sought in more complex, multifaceted settings which do not necessarily have to correlate, but can be ambiguous and have parallel validity. If we wish to get closer to other views of the world and the people in it, it is necessary to explore different traditions of thought and to do this in a way that does not just acknowledge and interpret, but with recognition on both sides. After violent conflicts, for example, all involved should together seek historical and cultural models which could be used for re-building society.

"Translating" world views and concepts

In order for this dialogue between two cultural worlds to evolve, the challenge of "translating" certain basic concepts needs to be tackled. Several language translations can help to arrive at meaning. Some examples are:

In Bantu languages, the term UBUNTU describes the essence of human existence (NTU = to be). It can also be translated by "a person is what he is because of another person" or "I am what I am because of who we all are". NTU is the river of life that flows through the whole of creation. It is manifested in nature and all living creatures and flows from an original source over ancestors, through the living, onwards to the coming generations. These creative forces must remain in permanent flux, otherwise they would not exist. They can be moved by working together. Groups that form to perform various different activities have a name of their own.

The *NAHE BITI* ceremony in East Timor means "roll out the mat". The traditional grass mat should be rolled out and stretched so that there is room on it for all involved to tell their version of the story and find a common solution. Here, too, there is a basic concept of a creative force that runs through nature, animals and human beings. The connection with ancestors is maintained by means of regular ceremonies. Cultural perceptions in Timor Leste are based on the assumption that the world is made up of 2 poles and balances between male/female, internal/external, movable/immovable, etc. These elements are not understood as being opposites, but are more complementary to each other, the point being to continually restore harmony between the two poles. There is, for example, the world of human beings and a supra-human universe: both are connected with each other. The living remain connected with the dead. Nature, too, the stones, trees and springs, the sea and the land are inhabited by spiritual forces. There is not just one single "truth".

The meaning of narratives

Ways at looking at the world, systems of values and ways of thinking are not only expressed in abstract texts but also in art, in myths, customs and proverbs. The oral tetum "literature" in East Timor, for instance, has a great richness of ideas in its stories, poems and ritual language. This narrative tradition comprises myths, fables, legends, sagas, moral tales or the so-called "fruit of the drum" (baba fuan), poems and songs created spontaneously to the accompaniment of drums and dancing.

Relevance for the social integration of young people

To build social and economic networks

- Where individual existence depends on the existence of others, the 'group' acquires a different meaning than that of the western context; the interpersonal relationship becomes a constitutive element and is vital to life. The individual is not as important as the common activity. In the Bantu languages in Eastern Congo, for instance, groups have different names according to the task they have to perform and these connect and bind the members to each other.
- Telling stories has an important meaning for the building of social interaction and cooperation. Their repetition fulfils the role of reminding, renewing and confirming, which in turns strengthens common identity.

50 Wimmer, Franz Martin: Interkulturelle Philosophie. Eine Einführung. Vienna. 2004

51 Roulleau-Berger, Laurence: Désoccidentaliser la sociologie. L'Europe au miroir de la Chine. La Tour d'Aigues. 2011

To come to terms with the past

- In a culture where there is a living force at work in nature and in human beings, any conflict is seen as an interruption. Ways must be found to make social cooperation possible again. In this context condemnation and punishment is not a generally accepted solution. Victims and perpetrators must become "human beings" again.
- Social occasions in which stories are told that have been handed down through history, performed with movement, dance, theatre and music, have a cathartic effect. It is both a re-visiting of the old and familiar and a gathering of strength to face the new.

For economic self-reliance

- Cultural metaphors that foster integration can have a place in the dialogue described above. In Kinyarwanda there is, for example, the term *IMIHIGO* meaning agreement. This signifies a promise made by members of a community to help each other. A metaphor of this kind could be used in entrepreneurship training, for example.

Implications for results-based monitoring

Cultural and historic models and structures need to be identified, analysed and integrated in monitoring. Participatory approaches are well suited to this purpose ("mutually recognising").

Terms and expressions need to be "translated" with reference to whatever culture is involved, in the process of indicator formation, for instance.

In certain cultural environments storytelling and ritual language are of immense importance – this aspect should be considered when choosing and using survey methods. One example of this is the biographical interview.

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Attachment 4: Check list: conflict-sensitive data collection and handling of data

Data collection methods used in conflict-sensitive monitoring do not differ fundamentally from those used in regular results monitoring. They include the usual methods of empirical social research. However, the collection of data and information in conflict and (post-) conflict situations is inevitably sensitive, both it is effects on those involved and also in respect of possible use of the information by parties in the conflict.

Conflict situations are often characterised by a lack of trust. The conflict sensitivity of procedures therefore also depends on the credibility of those involved in data collection and the transparency of the procedure. The attitudes of those involved in monitoring and their integrity are just as important as their methodical competences. Consequently, adequate training and coaching of those involved in monitoring is of great importance.

Furthermore, it is especially important in conflict-sensitive environments that data collection is as undistorted as possible. In order to ensure that all opinions are heard and reflected upon, actors and target groups from several different parties have to be included in the survey (i.e. the young people affected as a target group and representatives of the local community).

The following check list is designed to be of help in planning conflict-sensitive data collection. The list of questions does not claim to be complete (each situation has its own characteristics) but should create awareness of the kind of issues that can be involved. It can also be used for collecting information in baseline studies, i.e. to assess the situation at the outset that will serve as a reference later in results monitoring.

Table 9: **Collection of conflict-sensitive data**

Collecting data and information
General: • Are questions, explanations and subjects of negotiation clearly expressed for all involved? Are languages being used (in interviews, surveys, etc.) that are sufficiently understood and/or accepted by all involved? • To what extent is it being made clear in a credible way that information will only be used for the purposes of the project and cannot be misused? • What is being done to ensure there is understanding of and transparency in the way the project is conducted (why is information needed, how will it be used, who will be questioned, etc.)? • How is checking carried out on how the collection of information was perceived by those involved (or others)? • Did interviewers receive an introduction to data collection in conflict situation?
In case of questionnaire surveys in written form: • To what extent is it ensured that respondents have sufficient ability to read and write? • To what extent is a description given of the objectives, initiators and method of the survey (i.e. an introductory text in the questionnaire)? • To what extent is the relevance of the cooperation of various parties in the survey explained?
In the case of personal interviews: • How is it ensured that those interviewing the respondents are sufficiently accepted by them for honest responses to be given? Influential factors are, for example, origins, language, gender, position, age, assumptions on their role/interest in conflict. • To what extent is an atmosphere of trust created around interviews and surveys? Influential factors are, for instance: location, time, participants in interview, tape recorders/photographs.

The handling of data and information
• How is the question of ownership of information handled? Is its use or publication subject to negotiation? • How is it ensured that only "authorised persons" have access to the information? • Are steps taken to ensure that information cannot be used by parties to the conflict in a biased, negative way? • When, where and how do a dialogue and exchange of information on the results take place between those involved in the conflict? • To what extent are partner organisations qualified to fulfil these data protection requirements after the project has ended?

Source:

K. Block, R. Lange: Konfliktsensible Gestaltung von Vorhaben der Beruflichen Bildung, GTZ 2006

Attachment 5: Check list: conflict-sensitive monitoring – key questions

Conflict-sensitive monitoring, as opposed to general results-based monitoring, concerns itself much more with the question as to how a project delivers its output and whether this lessens or aggravates the conflict, whether it builds peace or threatens peace.

Check list A gives an overview of process-related key questions of a general nature for the conflict-sensitive implementation of development measures, including projects for Vocational Education and Training and Employment Promotion Check list B gives examples of key questions related to social integration.

Table 10: **Check lists conflict sensitive monitoring**

Check list A: General key questions on conflict-sensitive implementation
• How transparent is the project for conflict-relevant groups, target groups, partner organisations and the general public? • How open and partnership-oriented is the project in its dealings with the actors involved (institutions and people)? • How closely are certain groups involved in decision making? • To what extent is the project perceived by the actors and the public as being unbiased and independent?[52] • To what extent is any direct and indirect support of 'economies of violence' and corruption avoided? • How flexibly does the project deal with rapidly changing situations and stakeholder structures? • To what extent does the project remain committed to the human rights and humanitarian mission of development cooperation? • How does the project ensure that project staff, partners or target groups are not exposed to any threats arising from the project itself?

52 "Do no harm" assumes that projects in conflict environments are automatically partisan and are perceived as such. The question aims primarily to establish to what extent this partisanship can have a moderating or exacerbating effect on conflicts.

Check list B: specific key questions for the implementation of projects with social integration measures	
Key terms and themes	**Key monitoring questions**
Target groups • access • equal treatment vs. discrimination	• To what extent are social integration measures available to all relevant target groups/social groupings in the project context? • Are the measures relevant to the needs of the various groups? • How is it ensured that various groups involved in the conflict receive equal treatment and have the same access to information and support measures? • Are there discriminating factors at the institutional level (i.e. discriminatory questions during application and registration?). Does discrimination take place during implementation (behaviour of staff)? • How are complaints dealt with in general and in the case of certain specific target groups?
Intermediary organisations • selection • interests of institutions participating • *connectors* and *dividers* • traumatisation	• To what extent are intermediary institutions strengthened that offer and can carry out genuinely non-partisan, non-discriminating programmes? To what extent can selected intermediary institutions act as authentic forums for understanding and dialogue? • How well-known are the practices and interests of participating institutions ("economies of violence", corruption…)? • To what extent can a link between the financing of project measures with "economies of violence" (financing of conflicts) be avoided? • How can it be ensured that peace-promoting actors *("connectors")* as opposed to conflict parties *("dividers")* are being strengthened by institutional cooperation? • How is the traumatization of programme and managerial staff dealt with?
Cooperation partners • addressing conflict prevention • coordinated and integrated approaches	• To what extent are conflict prevention and peace building topics addressed through the cooperation and how are opportunities utilised to contribute to reconciliation and understanding between institutions and groups involved in conflict? • To what extent are integrated approaches and approaches coordinated with other institutions and donors used in this process?

Key terms and themes	Key monitoring questions
Design of measures / issues • discussion/description of historic events • fostering of understanding of democracy • influencing opinions / stereotypes	• How can programmes for specific conflict affected groups (demobilisation – ex-combatants, displaced persons/refugees) be designed and implemented in such a way as to be perceived as fair and non-partisan? • Are historic events and constellations portrayed in a way that is more likely to encourage conflict or peace? • Are elements of promotion of democracy integrated into measures (i.e. promotion of an understanding of democracy)? • What effect do the measures have on young people's opinion formation (viz. removal of stereotypes)? • In what form and to what extent are controversial issues addressed by the measures?
Impact on peace/ conflict context • conflict solution • prevention of violence	• What skills has the target group developed to avoid or peacefully resolve conflicts within and outside the group? • To what extent has the number of instances of violence been reduced in the context of the project measures? • How many cases of successful mediation have been registered? • To what extent can local communities confirm that the violence potential within the local community has been reduced in comparison to the situation when the project started?

Source:

K. Block, R. Lange: Konfliktsensible Gestaltung von Vorhaben der Beruflichen Bildung, GTZ 2006

Attachment 6: Survey methods: Focus group interviews or focus group discussions

Focus group discussions (FGDs) make it possible to crystallize different opinions and perceptions within the group in a participative manner. Within an interactive process, they can be used to do the following by means of an *intensive dialogue* with the participants:

- develop need-oriented measures
- describe indicators for a monitoring system
- continuously monitor project progress and achievement of project objectives on the basis of defined indicators
- reflect and verify monitoring results

An *atmosphere of trust* is *essential* for this kind of process. Care should be taken to ensure, for example, that those who have suffered traumas can react sensitively throughout the discussions.

The advantages and disadvantages of FGDs include the following:

Table 11: **Advantages and disadvanteges of focus group discussions**

Advantages of method	Disadvantages of method
• FGDs can be integrated into regular follow up measures with the target groups. • Different interests/views, values and needs/complex interrelations can be taken into consideration, reflected and possible solutions for the problems identified and arrived at in a joint effort. • To a certain extent, views on a topic can gain recognition/acceptance by/within the community. • Group interaction/dynamics can generate additional information/new lines of thought. • In comparison to individual interviews, group processes can have a "calming" and stimulating effect on the discussion. • In comparison with individual interviews, focus groups can be conducted quickly; costs are manageable.	• Facilitating FCGs is a challenging task and requires professional training. • The facilitator has less control over a group than over one person in an individual interview. • Participants can find the discussion intimidating and demotivating. • The documentation and analysis of results is more time consuming and more complex than that of standardized questionnaires. • "Opinion makers" can dominate discussion, which may lead to a "biased" overall picture. • Discussion time can be wasted by discussing irrelevant topics. • If several rounds of discussions are required, the cost advantage is lost.

Regular and systematic collection of information on the indicators of social integration (see chapter 6.4) using FGDs makes it possible to assess change processes throughout the course of programme or project implementation. Ideally the indicators are operationalized at the beginning of the process, i.e. have allocated values/ specifications according to baseline surveys.

In the following table one indicator is used as an example for use in an FGD:

Table 12: **Indicator for focus group discussions**

Indicator	**Operationalisation by**	
	Key questions	**Scales**
Type and level of *participation in joint activities* of the local community (contribution to the community) *indicator with allocated value:* 70% of the young people are present at meetings of the SHG and take part in SHG activities.	• Do you take part regularly in SHG activities? • Which SHG activities have you already participated in? • What responsibilities did you hold as part of your participation? • Why do you not take part in joint SHG activities? • What needs to change so that you can participate?	Group members take part in SHG activities: • always • often • sometimes • never

Defined *key questions* make it possible to keep sight of processes, unintended effects and negative influences, facilitate to find common solutions to problems identified and thereby gain important information for an effective steering of the project.

Discussions can range from general information on a topic through to assessment of a certain indicator. Open questions allow the specified indicator to be reflected on by group members. By doing so, qualitative information on the individual situation of participants in relation to the indicators can be obtained as well as a joint assessment of the indicator, for instance by means of specified scale values (see table) that summarise the discussion and can thus generate a general acceptance of the results by the participants.

Various participative methods such as sociograms, lifelines and influence matrixes can be incorporated into the FGDs.

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If you have access to the GIZ Intranet, you will find all available data concerning the impact model here:
https://intranet.giz.de/cps/rde/xchg/giz_intranet/XSL/hs.xsl/-/HTML/24499.htm

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Imprint

Published by
Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

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Edited by
Sector Programme Technical and Vocational Education and Training

Design and layout
Ulrike Albrecht visuelle Kommunikation, Darmstadt

Printed by
Top Kopie GmbH, Frankfurt
Printed on FSC-certified paper

As at
May 2014

GIZ is responsible for the content of this publication.

On behalf of
Federal Ministry for Economic Cooperation and Development (BMZ),
Division Education

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