RFP Title: Ethiopian Conflict Early Warning and Rapid Response (CEWRR) System Development

RFP No: B3831-2018-001

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Response to Questions: August 1, 2018

Closing Date: August 17, 2018, 5pm EAT

Estimated Award Date: September 2018

TERMS OF REFERENCE FOR A FIRM DEVELOPING A DATABASE FOR ETHIOPIAN CEWRR SYSTEM

I. Background

Pact is an International NGO with offices throughout the world with a mission to enable systematic solutions that allow those who are poor and marginalized to earn a dignified living, be healthy and take part in the benefits that nature provides. Pact accomplishes this by strengthening local capacity, forging effective governance systems and transforming markets into a force for development.

In October 2016, the Ethiopian House of Peoples' Representatives passed Proclamation No. 691/2010 renewed the mandate of the Ministry of Federal and Pastoralist Development Affairs (MoFPDA) to prevent, manage and resolve conflicts in a proactive and sustainable manner in collaboration with concerned federal and regional state organs. MoFPDA executes this mandate through its Culture of Peace and Early Warning and Sustainable Solutions Directorates General (respectively CoPDG and EWSSDG). The EWSSDG oversees the national Conflict Early Warning and Rapid Response (CEWRR) System and Peace Architecture (PA), which includes Administration and Security Offices at the regional stat (RASO), zonal (ZASO), woreda (WASO) and kebele (KASO) levels and community level field monitors (FM) and local peace committees (LPC) and other and other local government.

MoFPDA requested assistance from Pact Ethiopia [which was implementing the USAID-funded support project, Strengthening Institutions for Peace and Development (SIPED II)], to develop a technical and financial proposal for "state of the art" reforms and upgrades for the Ethiopian CEWRR system. Pact sought and received USAID approval to conduct assessments of current MoFPDA-led CEWRR capacities, tools and practices and (with its SIPED II sub-contractor, the Peace and Development Center (PDC)] to support joint MoFPDA, Pact and PDC regional CEWRR learning visits to Kenya and Uganda. MoFPDA, Pact and PDC also held extensive discussions with CEWARN officers to better understand the second-generation system and then collaborated on the design of reforms and upgrades for the Ethiopian CEWRR system and the preparation of the requested technical and financial proposal, which was finalized and accepted by the MoFPDA leadership in August 2017.

II. Objectives and Functional Requirements of the Eth-CEWRR System

Part of the reform and upgrade includes making the CEWRR process technologically assisted using state of the art technology and the most recent generations of Conflict Early warning design methodology aligned with the National capacities and context. [See Annex A: Ethiopian CEWRR System Reforms and Upgrades Technical Proposal Short Version]. The following high-level requirements are expected to be addressed by the system:

- Real-time instantaneous CEWRR reporting and communication through continuous replication between servers in the EWSSDG and each participating regional state.
- Automatic capture and transfer relevant input from electronic sources (SMS and traditional and social media websites, the African Union Media Monitoring application, incident reporting from the Armed Conflict Location and Event Data Project etc.) to relevant WASOs

for onward transmission to KASOs for verification, completion and reporting.

- Automatic display of incoming Case summary reports by sorting them spatially (locality), thematically and in order of priority (urgency) for higher levels to take note of.
- Automatic grouping and archiving associated CEW and CRR reports in a new "Case" structure (see below) that are immediately available to all authorized users.
- Real time required supervision and quality control of CRR planning, self-evaluation of CRR implementation and requests for upper level assistance when CRR has been unsuccessful or a lack of capacity to respond exists.
- The mapping of Cases, CEW alerts and incidents and CRR interventions and the graphing of associated data.
- The aggregation and presentation of data for longer-term situation and trend analysis.
- Situation reporting through maps, graphs and other alerts display mechanisms.
- The archiving and back-up of all CEWRR entries.
- A profile of the names, job titles, work locations, phone numbers and email addresses for all IT system users and a contact list for all CEWRR system actors by location.

The High-level Software Requirement Specification (SRS) is included below as Annex B.

III. Scope of the Assignment

A. Place of Performance

All services required under this solicitation will be performed Ethiopia, potentially in the following locations:

- Addis Ababa
- Gambella Regional State
  - Gambella town
- Oromia Regional State
  - East Hararge Zone
  - East Shoa Zone
- Southern Nations, Nationalities and Peoples Regional State
  - Bench Maji Zone
  - South Omo Zone

B. Period of Performance

All services required under this solicitation will be delivered within eighteen months of contract signing.

C. Scope of Work

- Prepare a detailed inception report, present it to the Ministry of Federal and Pastoralist Development Affairs and Pact, receive feedback and submit a refined report. The inception report shall include, but not limited to, a refined technical proposal and clear work plan for the development of the system, key deliverables, means of verification and progress reports.
- Conduct all necessary review of available resources including directives, Online CEW Sources,

formats available at MoFPDA to thoroughly understand the project's objectives, methods of data collection and uses. This information should be used to advise the design of a system that will meet the intended objectives.

- Prepare minimum server and client-side specifications for the database to run. These include hardware and software (Operating System, Browser, etc.), LAN and WAN infrastructure as required at different levels.
- Develop a dynamic web-based system (i.e., a database that accepts queries, processes inputs and displays results over the web) based on the agreed requirement analysis and that is aligned with the designed and validated framework.
- Test the system functionality on different scenarios (connectivity, platform, implementation sites, devices, versions, browsers, etc.) and make necessary corrections and adjustments.
- Submit regular progress reports (including mock-ups) on agreed schedule in the inception report and as requested.
- Develop a trainer manual, user guide and system administration/troubleshooting manual.
- Based on the trainer manual prepare training material and undertake trainings on the CEWRR system utilization and administration to estimated number of 59 users and 8 system administrators. NB that Pact will pay directly for the costs associated with in-country travel required for the execution of the scope of work.
- Provide support and at up to two version changes during one-year piloting of the system across three regions, 5 zones and 12 woredas.
- Propose backstop i.e., ways of handling ongoing and critical technical assistance and major changes/refinements during and after a minimum 1-year warranty period that will follow the piloting of the CEWRR system which is expected to take at least one year after the initial development, acceptance and deployment of the software.

Offerors are encouraged to propose the use open source/third party applications to make the software development more efficient and cost effective.

IV. Specifications of the System

The system is expected to have the following features and capabilities:

- **System infrastructure:** The Consulting firm will suggest the backend database and front-end user interface, which is expected to be web-based supporting online and off-line data entry/uploading, sharing/exchange and replication capabilities. We are open for open source solutions as well.
- **Platform:** The system should be able to run across different platforms (operating systems, browsers) and have hand-held device data collection capability. The data collection solution should be able to run on smart devices with Android operating systems, at a minimum. The ability to run on other smart device operating systems is a plus.
- **Flexibility:** The system needs to allow maximum flexibility in terms of data analysis and presentation, indicator inclusion/ modification, import/ export tool, etc. The system needs to change easily in response to different user and system requirements.
- **Access Control:** The system should support role-based authorization to provide secured access to

different parts of the system. The system should also support multiple users and hundreds of concurrent connections. Inactivity timeouts based on a specified minute should apply as well.

- **Audit:** System should keep record of changes made on the system for sensitive data including the user that made the change.
- **Security:** The system should be well secured from potential threats and data loss.
- **Backup and Recovery:** There should be automatic back up of the data based on an agreed scheduled and should be restored immediately in case of failure.
- **Hosting:** The database is to be hosted on the premises of each regional office with replication features with a central database hosted at MoFPDA. Cloud hosting beyond the MCIT infrastructure is not permissible.
- **Geographic Information System (GIS) capability:** The system should be capable of presenting early warning and alerts live on situation rooms that will be organized at agreed locations within the country. The GIS applications should be integrated into the system for visual monitoring spatial analysis.
- **Integration:** The system should be capable of integrating with the African Union's Continental Early Warning System (CEWS) and Media Monitor and Field Monitor software, the Inter-Governmental Authority on Development's (Horn of Africa) Conflict Early Warning and Response Mechanism (CEWARN), social media, and other e-sources such as the (Armed Conflict Location & Event Project's incident reporting database) that complement the local conflict early warning information sources.
- **Multilingual Capability:** Language capability in Amharic, Afaan Oromo, and English languages (including translation of interfaces and indicators). The training manuals and system administration/troubleshooting manuals will be produced in English language while the user guide will be produced in Amharic, Afaan Oromo, and English. All will be with professional content and layout design. Capacity for two additional Ethiopian languages must be built into the system.
- **Policies and applicable laws:** The firm developing the system should comply with the policies and regulations of the Ethiopian Information Network Security agency (INSA) which include requirements for security and design standards, as well as with all other relevant and applicable national laws and administrative regulations. Details are available on INSA web site.

V. Deliverables

The overall development, testing, deployment and training of users of the system must be completed within four months of contract signing.

Phase	Deliverables	Remarks
Inception and Requirement Analysis	Inception report	After consultations with MoFPDA
	Functional and system requirement	Detailed requirement report that includes prototypes
System Development	User interface, server and client-side specification for the database, system	At the end of system design phase, also possibility of exploiting existing hardware capacity

Phase	Deliverables	Remarks
	System design document including ER Diagram	The detail system architecture and different components used should be stated in the document
	Functionality test plan and test case report	A complete and tested system ready for user acceptance training and deployment.
Deployment	Working system	A system deployed in a production environment and
	Technical / Administration manual, User's Manual and User Training Manual	Training materials and end user training must also be prepared, and training delivered to the key stakeholders using the system
	Training accomplishment report	
	System deployment report with acknowledgment	
	User acceptance test (pilot test) report	
	Backstopping documentation	
	Source code of the system with full documentation and system training	To avoid unforeseen risks of absence of future support by the developing firm
	Project completion report	
Support	Negotiated and agreed up on service level agreement specifying the service commitments of the firm in supporting the system during and after the required one-year warranty period.	Following the deployment of the system, in this phase, the firm must provide technical support to ensure the optimal, ongoing performance of the system.

All deliverables shall be submitted to the Pact Country Office in Addis Ababa, Ethiopia in English language, both in hard copy and electronic copy in Word and PDF format, according to the schedule included in the inception report.

VI. Work Approach

A. Reporting procedure/Supervision. The selected firm will report formally to the Director of the Conflict Early Warning and Rapid Response Directorate of MoFPDA, who may delegate day-to-day reporting to the Pact Ethiopia IT Specialist.

B. Quality Control. MoFPDA will make the final determination about the quality of the outputs/deliverables.

c. Duties and Responsibilities

Consulting Firm:

- Undertake tasks in the scope of work following higher standard and based on feedback provided by the joint MoFPDA/Pact IT team.
- Closely work with the joint MoFPDA/Pact IT team.
- Cover all costs related to all tasks in the scope of work.
- Make presentations and demonstrations of the system to stakeholders at different phases of the development cycle and as requested.
- Submit formal progress reports as per the agreed schedule in the Inception Report.

Pact:

- On behalf of MoFPDA, lead and follow up the implementation of the task.
- Sign agreement with the developing firm and manage the same
- Assign technical team and technical focal person to closely work with the consulting firm.
- Receive deliverables of the consulting firm and provide consolidated feedback from MoFPDA, Pact and the National Steering Committee.
- Facilitate consultative meetings with stakeholders and avail additional information required.
- Based on agreed milestone and final approval of acceptable quality of deliverables, initiate and affect payment to the consulting firm.
- Submit regular updates on implementation progress to MoFPDA.
- Pay directly for all of the costs associated with any in-country travel required for the execution of the scope of work.

Ministry of Federal and Pastoralist Development Affairs (MoFDPA):

- Facilitate consultative meetings and requirements gathering activity at key federal institutions and the NSC meetings.
- Provide final approval of plans, outputs and deliverables of the consulting firm.
- Handle matters related to internal infrastructure and connectivity issues with Ethio Telecom.
- Make sure that relevant focal persons are assigned by MoFPDA and other government stakeholders linked with the system.
- Provide additional information and clear guidance to matters that need decisions.

VII. Submission Instructions

ci. All firms planning to submit proposals in response to this RFP should so inform Pact by email at infoethiopia@pactworld.org. to ensure that they are included in the dissemination of questions and answers explained in cii. below.

cii. Submission of Questions: All questions or clarifications regarding this RFP must be in writing and submitted to infoethiopia@pactworld.org no later than close of business Addis Ababa time on July 27, 2018. Questions and requests for clarification, and the responses thereto, will be circulated to all firms which have indicated and intention to submit proposals in response to this RFP as per ci. above by August 1, 2018.

ciii. Proposal: Offerors responding to this RFP must submit the following:

- Detailed technical proposal including the technical approach and work plan with specific proposed deadlines for the completion of each the deliverable phases detailed in the table in section V above
- Detailed financial proposal in a separate envelope providing, after VAT quotation, broken down by the detailed and summary costs required to finalize each deliverable mentioned in Section V and specifying the job titles, daily rates and number of days for all personnel and any other necessary costs proposed for that deliverable.
- Proof of legal ability to sign and execute software development contracts in Ethiopia
- Summary descriptions of major software development contracts completed during the past five years or currently in progress
- CVs, academic and experience credentials of proposed team members
- At least three letters of reference based on recent relevant assignments of the firm
- Other relevant legal documents.

civ. Certifications**:** Offerors responding to this RFP must include the following disclosures and certifications as part of the proposal submission in an annex to the cost proposal.

1. Disclose any close, familial, or financial relationships with Pact or project staff. For example, if an offeror's cousin is employed by the project, the offeror must state this.
2. Disclose any family or financial relationship with other offerors submitting proposals. For example, if the offeror's father owns a company that is submitting another proposal, the offeror must state this.
3. Certify that the prices in the offer have been arrived at independently, without any consultation, communication, or agreement with any other offeror or competitor for the purpose of restricting competition.
4. Certify that all information in the proposal and all supporting documentation are authentic and accurate.

cv. Submission of Proposals**:** The deadline for submission of proposals is August 17, 2018. Submissions must be forwarded in both hard and electronic formats:

- Hard copy submissions should be delivered in separate sealed envelopes, one containing only the financial proposal and the second containing the technical proposal and all other supporting documentation. Delivery of both should be to:

Pact Ethiopia Country Office
Bole Sub-city, Woreda 4, House No.533, along Mickey Leland Avenue, behind Ministry of Water, Irrigation and Electricity.
Tel. +251-116616572, +251-116616244

- Electronic submissions should include only the technical proposal and supporting documentation (in either PDF or Microsoft Word and Excel) and should be delivered to infoethiopia@pactworld.org.

Offeror's proposals should not contain any unnecessary promotional material or elaborate presentation formats (black and white is preferred). Those pages that include original manual signatures should be scanned and sent in PDF format as an email attachment. The technical proposal and cost proposal must be kept separate from each other. Please reference the RFP Number and RFP Name in the cover letter and e-mail subject lines. Offerors are responsible for ensuring that their offers are received in accordance with the instructions stated herein. Late offers may be considered at the discretion of Pact. Pact cannot guarantee that late offers will be considered.

VIII. Evaluation Criteria

A. Review Process. Pact will establish a selection committee that includes representatives from various company departments and external professionals if necessary. All technical reviewers will be subjected to a screening process to eliminate any conflict of interest. Evaluation will be based on the criteria set forth in section B. Evaluation Criteria.

B. Evaluation Criteria. The award will be decided on Best Overall Value as determined by a Selection Committee on the basis of the criteria set forth below, as demonstrated in the Offeror's proposal. Only proposals conforming to the solicitation requirements will be considered.

The firm should be able to produce tangible evidences pertaining to the following requirements:

- Legally registered in Ethiopia and having in-country presence
- Sufficient experience in similar undertakings in developing countries
- Strong multi-disciplinary team
- Sound organizational capacity and backstopping
- Experience and good track record of working with government stakeholders

Evaluation Criteria	Score
Understanding of the TOR	5
Adequacy of the technical approach and work plan in responding to the TOR	25
Relevant capacity and experience of the firm	20
Professional mix and number, qualifications and competence of key members of the team for the assignment	20
Financial proposal	30
Total Available Points	**100**

II. TERMS AND CONDITIONS

A. Disclaimers

- Pact reserves the right to modify by written notice the terms of this solicitation at any time in its sole discretion. Pact may cancel the solicitation at any time
- Pact may reject any or all proposals received.
- Issuance of solicitation does not constitute award commitment by Pact.
- Pact reserves the right to disqualify any application based on applicant's failure to follow solicitation instructions.
- Pact will not compensate applicants for their response to the solicitation.
- Pact reserves the right to issue an award based on initial evaluation of applications without further discussion.
- Pact may choose to award only part of the scope of work in the solicitation or to issue multiple awards the scope of work.
- Pact reserves the right to waive minor proposal deficiencies that can be corrected prior to award determination to promote competition.
- Pact may contact offerors to confirm contact person, address, and that the proposal was submitted for this solicitation.
- Pact may contact listed past performance references without notice to the offeror. Pact also reserves the right to contact other past performance information sources that the offeror did not list in the proposal.
- By submitting a proposal, the offeror confirms they understand the terms and conditions.

Information pertaining to and obtained from the Offeror as a result of participation in this solicitation is confidential. The offeror consents to the disclosure of the documents submitted by the offeror to the reviewers involved in the selection process. Please note that all reviewers are bound by non-disclosure agreements.

Annex A

The Ministry of Federal and Pastoralist Development Affairs

Technical and Financial Proposal – Short Version

Ethiopian Conflict Early Warning and Rapid Response System Upgrades and Reforms

Prepared by the MoFPDA-led CEWRR Technical Committee

For the Review during the National Validation Workshop

Acronyms

AAU	Addis Ababa University
ASO	Administration and Security Office
CEW	Conflict early warning
CEWARN	Conflict Early Warning and Response Mechanism
CEWRR	Conflict early warning and rapid response
CoPDG	Culture of Peace Directorate General
CRR	Conflict rapid response
EWSS DG	Early Warning and Sustainable Solutions Directorate General
FM	Field Monitor
GoE	Government of Ethiopia
GoK	Government of Kenya
GoU	Government of Uganda
IPSS	Institute for Peace and Security Studies
IGAD	Intergovernmental Authority on Development
KASO	Kebele Administration and Security Office
LAN	Local area network
LPC	Local peace committee
MoFPDA	Ministry of Federal and Pastoralist Development Affairs
MoU	Memorandum of Understanding
NSC	Kenyan National Steering Committee on Conflict Management and Peace Building
RASO	Regional Administration and Security Office
SIPED II	Strengthening Institutions for Peace and Development II project
ToR	Terms of reference
ToT	Training of trainers
WAN	Wide area network
WASO	Woreda Administration and Security Office
ZASO	Zonal Administration and Security Office

Definitions

Conflict Early Warning is the collection, sharing and analysis of data that informs actions that successfully prevent outbreaks or the escalation of violence and that can also be used to identify both positive and negative geographic and issue-based trends and inform longer-term conflict management and resolution interventions.

Conflict Rapid Response is the planning, implementation and monitoring of interventions informed by CEW that are designed to successfully prevent outbreaks or the escalation of violence and that can be evaluated to identify, disseminate and apply important promising practices and lessons learned.

Conflict Signal/Alert is an indication of rising tensions that have the potential to result in violence.

Conflict Incident is an actual outbreak of violence.

Background/Introduction

In order to promote sustainable peace and development in Ethiopia, the National House of Peoples' Representatives passed Proclamation No. 691/2010 to provide the Ministry of Federal and Pastoralist Development Affairs (MoFPDA) with the mandate to prevent, manage and resolve conflicts (CPMR) in a proactive and sustainable manner in collaboration with concerned federal and regional state organs. MoFPDA executes this mandate through its Culture of Peace and Early Warning and Sustainable Solutions Directorates General (respectively CoPDG and EWSSDG). The EWSSDG oversees the national Conflict Early Warning and Rapid Response (CEWRR) System and Peace Architecture (PA), which includes Administration and Security Offices at the regional state (RASO), zonal (ZASO), woreda (WASO) and kebele (KASO) levels and community level field monitors (FM) and local peace committees (LPC).

The Strengthening Institutions for Peace and Development (SIPED) II project is a five-year (Oct 2014-Sept 2019) project funded by USAID/Ethiopia that, through its Component 1, provides system strengthening support to enhance the conflict prevention, management and resolution capacities of the Ministry.

This technical and financial proposal responds to a request to SIPED II to assist MoFPDA to put in place state of the art upgrades and reforms for the Ethiopian national CEWRR system and was produced through joint efforts by the MoFPDA-led CEWRR Technical Committee (Tech Com) that currently includes staff from the EWSSDG, and Pact Ethiopia and the Peace and Development Center which together implement Component 1 of SIPED II. The system upgrade design was informed by:

- An independent assessment of MoFPDA's conflict prevention, management and resolution policies, capacities and practices carried out by the Institute for Peace and Security Studies (IPSS) of Addis Ababa University (AAU).
- Further investigation of current Ethiopian CEWRR system guidelines and practices conducted by SIPED II.
- Joint MoFPDA/SIPED II visits to study the CEWRR systems in place or under development in Uganda and Kenya.
- Extensive discussions with staff from the Intergovernmental Authority on Development's (IGAD) Conflict Early Warning and Response (CEWARN) mechanism.

The objectives of proposed system upgrades and reforms are to enable effective and efficient planning, implementation and management of linked conflict early warning (CEW) and conflict rapid response (CRR) processes in real-time that:

- Use appropriate modern technologies.
- Build on the current Ethiopian CEWRR system and regional learning.
- Maintain or integrate best practice and address gaps.
- Build in supervision and quality control mechanisms to ensure technical soundness and Do No Harm.
- Are based on an approach that considers all the policy, technical, institutional, human and budget factors that impact on system functionality.

The financial proposal is based on direct system development cost estimates and does not include additional direct or indirect costs associated with any third-party organization responsible for holding and managing funding.

Proposed System Upgrades and reforms

Overview

The proposed system upgrades and reforms include:

- Improved CEWRR protocols, formats and operations that will be produced and conducted in Amharic and regional state working languages.
- A new CEWRR IT system and database that incorporates the new protocols and formats and enables:
  - The general public to submit CEW reports via SMS.
  - Automatic capture of CEW information from traditional and social media websites.
  - Staff in WASOs, ZASOs, RASOs and the EWSSDG to execute their CEWRR management, implementation and quality control responsibilities in real-time.
- Strengthened CEWRR staffing and management, implementation and quality control responsibilities at each level under formal MoUs that define cooperation and collaboration between the federal and participating regional state governments.
- A new model for guiding overall CEWRR operations by steering committees at all levels.
- Re-invigorated LPC and community participation in CEWRR activities at the local level.
- Updated and new training materials and operational guidelines to ensure better staff understanding of and compliance with CEWRR responsibilities.
- The availability of tools, infrastructure and resources necessary for improved CEWRR.
- Awareness raising campaigns targeted at administrative authorities, community leaders and the public in system roll-out areas to ensure active community participation and effective management of the system at all levels.

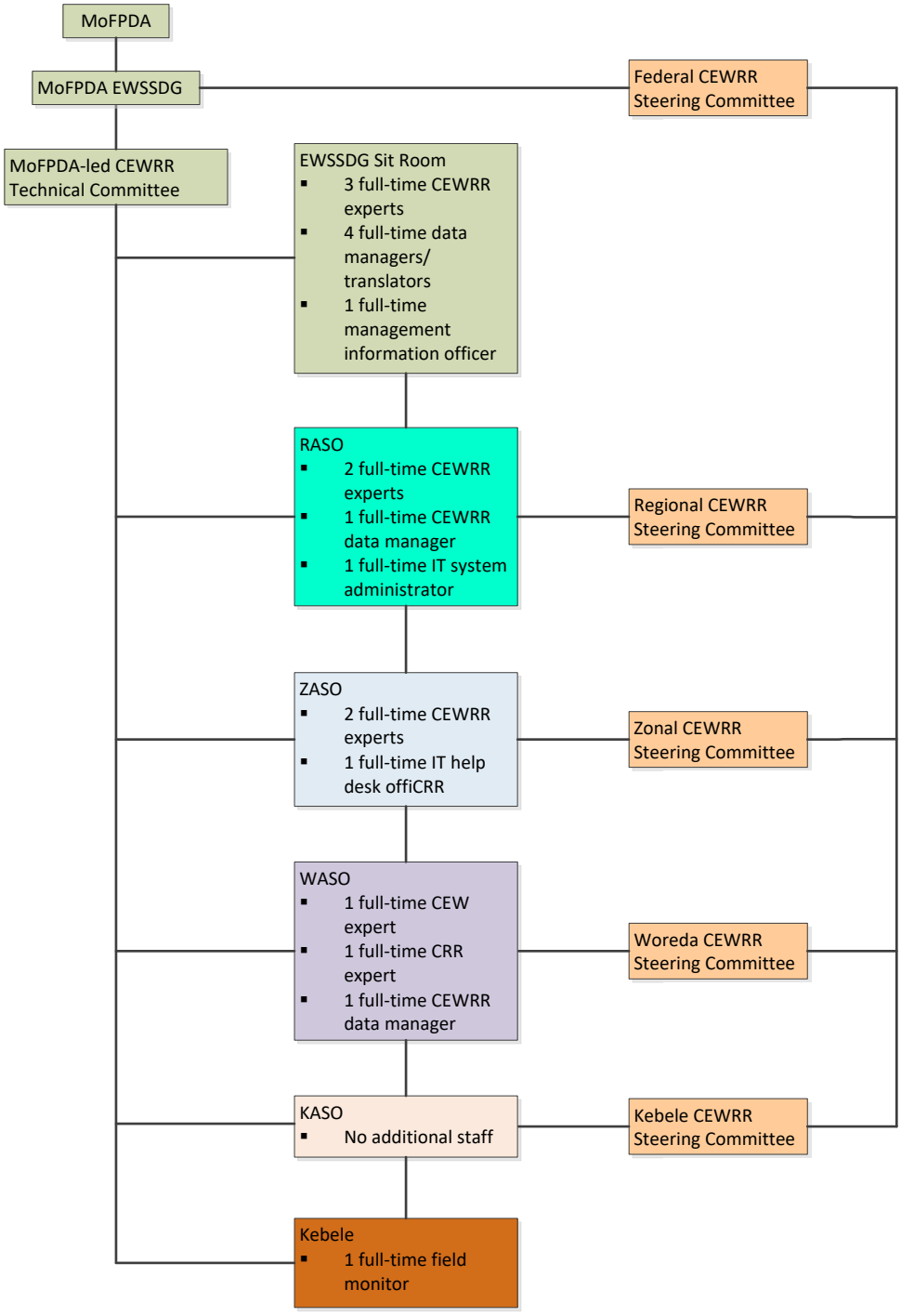
These upgrades and reforms have been/will be designed, considering as givens:
- CEWRR mandates and levels of autonomy of participating federal and regional institutions and structures, including progressive bottom-up CER responsibility.
- The need for all levels to implement necessary institutional reforms and participate in building their capacities.
- The need for the system to function in the working languages of the participating regional states.
- The availability of the Government of Ethiopia (GoE) Woreda Net to guarantee reliable connectivity.
- Solar power/battery back-ups as necessary where electricity may be intermittent, and generators are unavailable.

The system upgrades and reforms are being/will be rolled out in four phases (see Annex A for detailed phase plans):
- *Design* during which this technical and financial proposal was produced and will be reviewed and improved during a National Validation Workshop.
- *Development* during which:
  - Planning will be finalized during a Piloting Workshop.
  - All piloting systems, software, documentation and preparations will be finalized.
- *Piloting* during which:
  - In limited geographical areas, participating staff and community representatives will be trained, system components will be tested during real-time implementation, learning will be systematically gathered, and the system will be refined to improve performance and user friendliness.
- *Scale-up* during which:
  - Planning will be finalized during a Scale-up Workshop.
  - All documentation and preparations will be finalized.
  - Participating staff and community representatives will be trained and supported
  - The system will be deployed and operationalized.

CEWRR Steering, MoUs and Management, Quality Control and Staffing

The development and piloting phases will be guided and overseen by a federal level Steering Committee that includes representation from all relevant CEWRR actors. Similar Steering Committees will be established at regional state level to guide and oversee system scale-up. MoUs between MoFPDA and participating regional states and chartered municipalities for the piloting phase will be drafted, agreed and signed during the development phase and for scale-up during the scale-up phase. The MoFPDA-led CEWRR Tech Com will be responsible for day-to-day management, planning, monitoring and coordination activities throughout the three phases and will take an active role in producing documentation during the development phase and managing IT related contracts during all phases. New staff will be added at all levels to ensure adequate capacity to implement the proposed system upgrades and reforms. The institutional management, implementation and quality control relationships are depicted in the diagram below:

CEWRR System Organigram



CEWRR Structures, Protocols and Formats

Case Structure: As explained above, it was noted during the study visit to Kenya that, especially with public SMS reporting (and for the more fundamental reason that rising tensions and outbreaks of violence are always volatile and evolving), there could very well be the need for a succession of CEW

reports about the same issue or event. It was also noted that there is no mechanism within the NSC system for following up and reporting on the implementation and impact of either successful or unsuccessful CRR interventions, especially when the latter may have unintentionally contributed to a worsening of tensions and/or violence. The design team also noted that with bottom-up CRR responsibility in the Ethiopian system, there is always the possibility that any ASO may seek request CRR assistance from the next upper level because it has been decided that there is insufficient capacity to respond or if CRR implementation has not been successful.

The proposed system upgrades and reforms resolve these issues and problems by creating the "Case" structure designed to house all associated CEW and CRR reports and communications. WASOs will begin CEWRR reporting by opening a Case and continue by entering as many alert and incident reports as necessary as new CEW information becomes available. WASOs, ZASOs, RASOs and the EWSSDG will also enter all CRR communications and reports as initial response is considered at KASOs and if and when CRR responsibility moves from any lower levels to the next higher. This will ensure that any level subsequently evaluating its response capacity and appropriate response interventions will have access to all previous CRR decisions and reports. For each case, summary CEW and CRR information will be entered initially or updated by any user who adds CEW or CRR reports and communications. This information will provide useful "snap shots" of what is going on for higher level CEWRR information consumers.

CEWRR data collection, verification and completion at the kebele level will be strengthened through:

- The refinement of contextualized conflict signal indicator frameworks that will make it easier for field monitors to focus their data collection efforts (to be finalized during the development phase).
- Techniques for FMs to develop and build trust with informant networks and to verify complete alert and incident data that will be emphasized during training, supportive supervision and mentoring.
- Involvement of KASOs, FMs and community leaders in local level CEWRR training to build knowledge and skills and strengthen commitments to collaborate to improve peace and security.
- Strengthened supervision of FMs by KASOs and of KASOs by WASOs.

Progressive bottom-up CRR responsibility will be made more systematic and accountable through the following requirements:

- Any level ASOs intending to respond must prepare and transmit or enter a CRR intent Notification that includes details of the response about to be planned.
- All upper levels have a responsibility to review CRR intent notifications and to provide comments and recommendations to ensure overall quality control and awareness of any wider issues that could compromise the effectiveness of the planned CRR intervention.
- Comments and recommendations must be acknowledged by the level that submitted the intent notification.
- Any level lacking the capacity to respond or having implemented a response that was unsuccessful must prepare and transmit a CRR assistance request for the next upper level.
- The request must be acknowledged by the receiving level.
- Any level having implemented a successful or unsuccessful CRR intervention must prepare and transmit a CRR report that includes:
  - Self-evaluation of the effectiveness and efficiency of planning and implementation.
  - Description of on-going conflict issues and recommendations for longer-term conflict management and resolution interventions.

Situation Report format will be developed to assess a specific geographical location using set of

socioeconomic indicators with the aim of tracking the stability of the area under consideration. The indicators below are suggested as a starting point for discussions during the system development phase:

- **Interest for reconciliation** (mediation or peace conferences): Refers to expressed intentions and actions by the local community members to take part in reconciliation and mediation for the resolution of ongoing disputes. This is to be measured by attitudes ranging from the negative (very low interest) to the positive (very high interest) to take part in reconciliatory sessions.

- **Respect for previous agreements:** Refers to ongoing measures taken by community members in line with and to directly implement the terms stipulated in peace agreements.

- **Market activities:** Any form of transaction of goods and services between buyers and sellers in the community which is very essential for the sustenance of community livelihoods. It is to be measured by observed variations in market activities ranging from freezing of all transactions to intensified market activities as manifested in the same locality in peaceful times.

- **Prices for goods and services:** Prices are exchange values offered for goods and services. Very low prices indicate high supply over low demand for goods and services and the vice versa. Depending on the situation both higher prices and lower prices could be indicators of improved situations or worsening scenarios.

- **Participation in social events:** Refers to inter-community participation in social events such as funeral and weeding. It is to be measured by the number of people participating in the occasions on the scale from very low to very high as compared to the normal in peace times.

- **Joint utilization of social services:** Refers to community willingness to jointly undertake social services including religious services.

- **Joint engagements in development initiatives:** Refers to community engagement in joint development efforts such as building roads, water points or market facilities.

- **Joint utilization of grazing areas:** Refers to the observable tendencies of local community members to bring cattle to common grazing areas and get engaged in mingled grazing.

- **Transparency and open discourse:** Refers to observable behaviors of community members to get engaged in open dialogue

- **Participation of people in public gatherings:** Refers to the amount of people present in public gatherings summoned by local administrators.

- **Number of people bearing arms:** Refers observable trends in community members caring arms in open implying the ne the prevalence of a security threat to those carrying arms and their families (close kinships)

- **Maintenance of rule of law:** Refers to the prevalence of well-structured laws and law enforcement mechanisms as well as practices to restrict arbitrary exercise of power and vigilante practices.

- **Return of the displaced:** Refers to the amount of people willing and taking the necessary steps to return to their areas formerly displaced by violent conflicts or a threat of one

- **Rebuilding of destroyed facilities:** Refers to measures taken by community members to restore and reconstruct facilities and establishments destroyed by a recent violence.

- **Voluntary return of lost property (cattle):** Refers to measures taken by local community members and local leadership to return cattle lost and are held in their areas signifying good will and peaceful resolution of disputes.

- **Cooperation of the public in enforcing rule of law:** Refers observable community practices to collaborate with law enforcing officials, for instance, in handing over suspects and volunteering in providing as well as facilitating security.

- **Governance:** Refers to the ability and readiness of public institutions to provide services to local community and manage public affairs in efficient, fair, equitable and accountable manners.

- **Corruption:** Refers to dishonest and fraudulent behavior of public officials involving embezzlement of public resources and leading unjust distribution of wealth in the community and impacting local economic performance.

- **Drought:** Refers to the natural disaster leading to catastrophic impacts such as death caused by bad climate a prolonged period of abnormally low rainfall and destruction of harvest.

- **Security and personal safety:** Refers to the absence or prevalence of threats to lives of individuals and groups in a community.

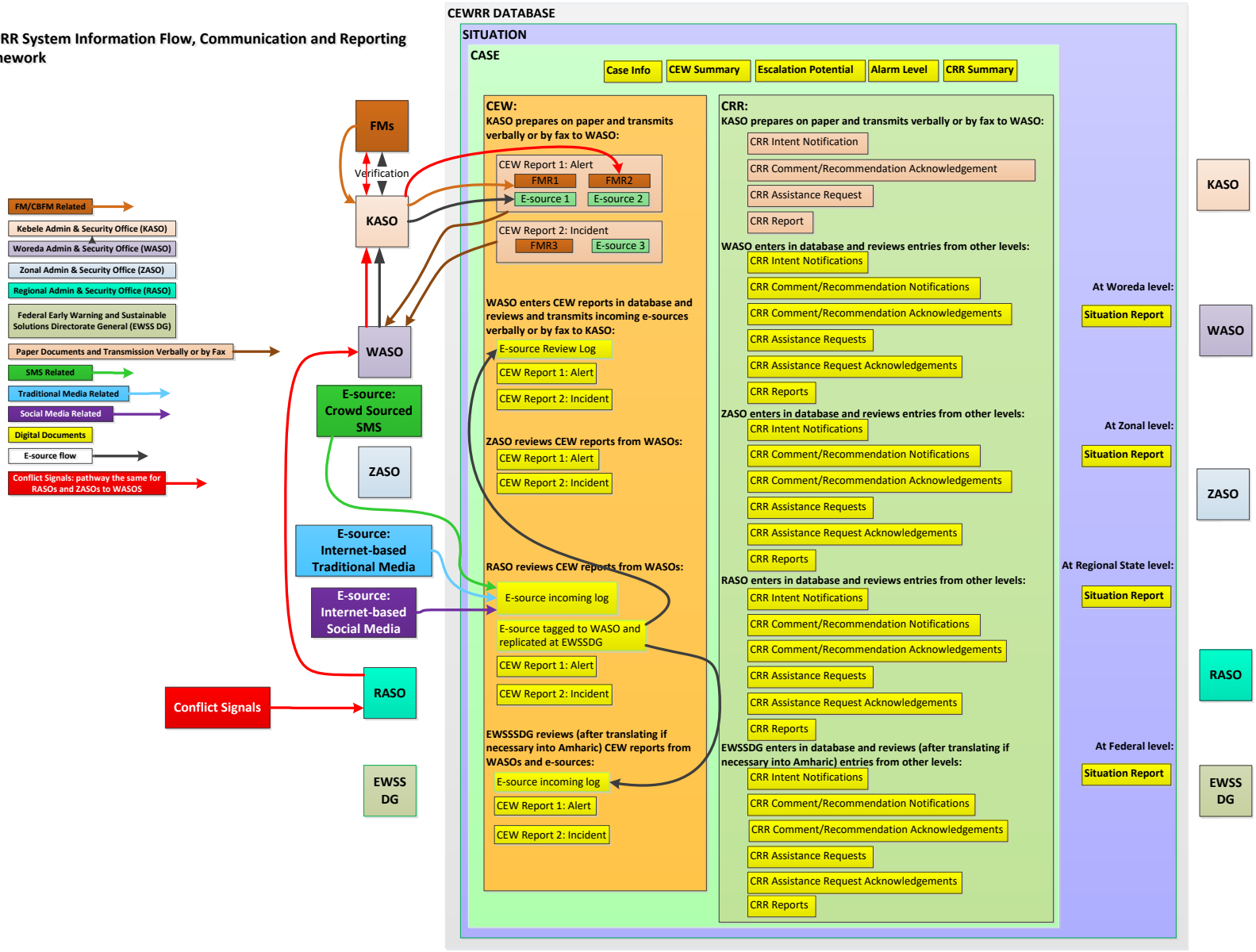
- **Filing of complaints to local authorities:** Refers to the number of cases of complaints about land dispute, resource use, governance and related issues filed to local authorities in a given time, which shows unresolved causes for conflicts.

- **Satisfaction about distribution of relief:** Refers to the degree of satisfaction as expressed by local community members about the adequacy and fairness of distributed relief supply or any other form of emergency aid (health etc.)

In the finalization of the indicator framework, due consideration will be given to issues of availability of relevant data and feasible data collection methodologies.

The diagram below provides an overview of the Case/CEW/CRR/Situation reporting and communications framework within the data base and the flow of information captured from the internet.

CEWRR System Information Flow, Communication and Reporting Framework



CEWRR Implementation Responsibilities

Specific proposed CEWRR responsibilities are laid out below. It will be up to each ASO to decide whether to create a separate Situation Room or to house new CEWRR staff with the current team.

In each kebele, one full-time FM will be hired to ensure continual competent local monitoring. They will:

- Be responsible for:
  - Monitoring their areas of reporting for conflict signals and violent incidents.
  - Verifying, completing and reporting conflict signal and violent incidents to their KASOs.
- Report to KASOs.

Current KASO staff will:

- Be responsible for:
  - Supervising, mentoring and building the capacity of FMs.
  - Working with FMs to verify and complete CEW information received from them and from WASOs.
  - Documenting verified and completed CEW information in Alert and Incident Report forms and transmitting CEW reports to WASOs verbally and on paper.
  - Working with the Kebele Security Committee members to consider CRR options and capacities and to determine whether the kebele has the capacity to take the most appropriate CRR action.
    - If yes, then:
      - Preparing and transmitting CRR intent notifications to WASOs.
      - Then receiving and acknowledging CRR intent comments and recommendations to the WASO verbally and on paper.
        - If approved, then planning, implementing and monitoring approved CRR.
        - If disapproved, then standing down and continuing monitoring.
    - If no, preparing and transmitting CRR assistance requests to WASOs.
  - Preparing CRR reports and transmitting to WASOs verbally and on paper.
- Report to WASOs.

WASOs will be strengthened with additional staff including two full-time CEWRR experts and one data manager. The office will:

- Be responsible for:
  - Supervising, mentoring and building the capacity of KASOs.
  - Receiving, reviewing and transmitting E-source CEW input from the IT system and conflict signal information from higher levels to KASOs verbally and on paper for verification and completion.
  - Receiving and entering verified and completed CEW reports received from KASOs.
  - Receiving, reviewing and entering CRR Intent Notifications from KASOs and entering WASO level comments and recommendations and transmitting them to KASOs verbally and on paper.
  - Receiving and reviewing higher level comments and recommendations of KASO CRR intent and transmitting them to KASOs verbally.
  - Receiving and entering acknowledgements of CRR comments and recommendations from KASOs.
  - Verbally monitoring and advising on-going kebele level CRR planning and implementation.
  - Receiving and entering KASO CRR reports.
  - Receiving, reviewing and entering KASO CRR assistance requests and transmitting acknowledgement to KASOs.

- Preparing and entering acknowledgments of KASO CRR assistance requests and transmitting them to KASOs verbally and on paper.
- After receiving KASO assistance requests, working with Woreda CEWRR Committee members to consider CRR options and capacities and to determine whether the woreda has the capacity to take the most appropriate CRR action.
  - If yes, then:
    - Preparing and entering CRR intent notifications.
    - Then receiving higher CRR intent comments and recommendations and entering acknowledgements.
      - If positive, then planning, implementing and monitoring approved CRR.
      - If negative, then standing down and continuing monitoring.
  - If no, preparing and transmitting CRR assistance requests to ZASOs.
- Preparing and entering CRR reports for response conducted by the woreda.
- Entering Case information updates when required.
- Preparing and entering woreda level Situation Reports on a bi-weekly basis.

- Report to ZASOs.

ZASOs will be strengthened with additional staff including two full-time CEWRR experts and one full-time IT help desk officer. The office will:

- Be responsible for:
  - Supervising, mentoring and building the capacity of WASOs.
  - Communicating any conflict signals picked from outside of the system to the appropriate WASO.
  - Reviewing CRR Intent Notifications from KASOs and WASOs and entering ZASO level comments and recommendations.
  - Monitoring and reviewing higher level comments and recommendations of KASO and WASO CRR intent.
  - Monitoring KASO and WASO acknowledgements of CRR intent comments and recommendations.
  - Verbally monitoring and advising on-going woreda level CRR planning and implementation.
  - Monitoring CEW and CRR reports and communications and Case updates relevant to the zone.
  - Reviewing WASO CRR assistance requests and entering acknowledgements.
  - After receiving WASO assistance requests, working with Zonal Security Committee members to consider CRR options and capacities and to determine whether the zone has the capacity to take the most appropriate CRR action.
    - If yes, then:
      - Preparing and entering CRR intent notifications.
      - Then receiving higher CRR intent comments and recommendations and entering acknowledgements.
        - If approved, then coordinating the planning, implementation and monitoring of approved CRR.
        - If disapproved, then standing down and continuing monitoring.
    - If no, preparing and transmitting CRR assistance requests to RASOs.
  - Preparing and entering CRR reports for response conducted by the zone.
  - Entering Case information updates when required.
  - Preparing and entering zonal level Situation Reports on a bi-weekly basis.
  - Providing remote and in-person IT support to WASOs in the zone.
- Report to RASOs.

RASOs will be strengthened with additional staff including three full-time CEWRR experts one full-time data manager/translator (for SMS messages before transmission to the EWSSDG) and one full-time IT system administrator. The office will:

- Be responsible for:
  - Supervising, mentoring and building the capacity of ZASOs.
  - Communicating any conflict signals picked from outside of the system to the appropriate WASO.
  - Reviewing incoming e-source input (SMS and traditional and social media) and tagging for the appropriate woreda.
  - Reviewing CRR Intent Notifications from KASOs, WASOs and ZASOs and entering RASO level comments and recommendations.
  - Monitoring and reviewing EWSSDG comments and recommendations of KASO, WASO and ZASO CRR intent.
  - Monitoring KASO, WASO and ZASO acknowledgements of CRR intent comments and recommendations.
  - Verbally monitoring and advising on-going zonal level CRR planning and implementation.
  - Monitoring CEW and CRR reports and communications and Case updates relevant to the region
  - Reviewing ZASO CRR assistance requests and entering acknowledgements.
  - After receiving ZASO assistance requests, working with Regional Security Committee members to consider CRR options and capacities and to determine whether the zone has the capacity to take the most appropriate CRR action.
    - If yes, then:
      - Preparing and entering CRR intent notifications.
      - Then receiving higher CRR intent comments and recommendations and entering acknowledgements.
        - If approved, then coordinating the planning, implementation and monitoring of approved CRR.
        - If disapproved, then standing down and continuing monitoring.
    - If no, preparing and transmitting CRR assistance requests to the EWSSDG.
  - Preparing and entering CRR reports for response conducted by the region.
  - Entering Case information updates when required.
  - Preparing and entering region level Situation Reports on a bi-weekly basis.
  - Maintaining the functionality of the regional CEWRR IT system and working with the current MoFPDA IT system administrator to maintain functionality and replication between the federal and regional servers.
- Report to EWSSDG.

The EWSSDG Situation Room will be strengthened with three full-time CEWRR officers and four full-time data managers/translators. The EWSSDG will:

- Be responsible for:
  - Supervising, mentoring and building the capacity of RASOs.
  - Communicating any conflict signals picked from outside of the system to the appropriate WASO.
  - Translating all incoming communications and reports into Amharic when necessary.
  - Reviewing CRR Intent Notifications from KASOs, WASOs, ZASOs and RASOs and entering RASO level comments and recommendations.
  - Monitoring and reviewing EWSSDG comments and recommendations of KASO, WASO, ZASO and RASO CRR intent.
  - Monitoring KASO, WASO, ZASO and RASO acknowledgements of CRR intent comments and recommendations.

- Verbally monitoring and advising on-going regional level CRR planning and implementation
- Monitoring CEW and CRR reports and communications and Case updates relevant to the federal level.
- Reviewing RASO CRR assistance requests and entering acknowledgements.
- After receiving ZASO assistance requests, working with Federal Security Committee members to consider CRR options and capacities and to determine the most appropriate CRR action.
- Preparing and entering CRR reports for response conducted by the region.
- Entering Case information updates when required.
- Preparing and entering region level Situation Reports on a bi-weekly basis.

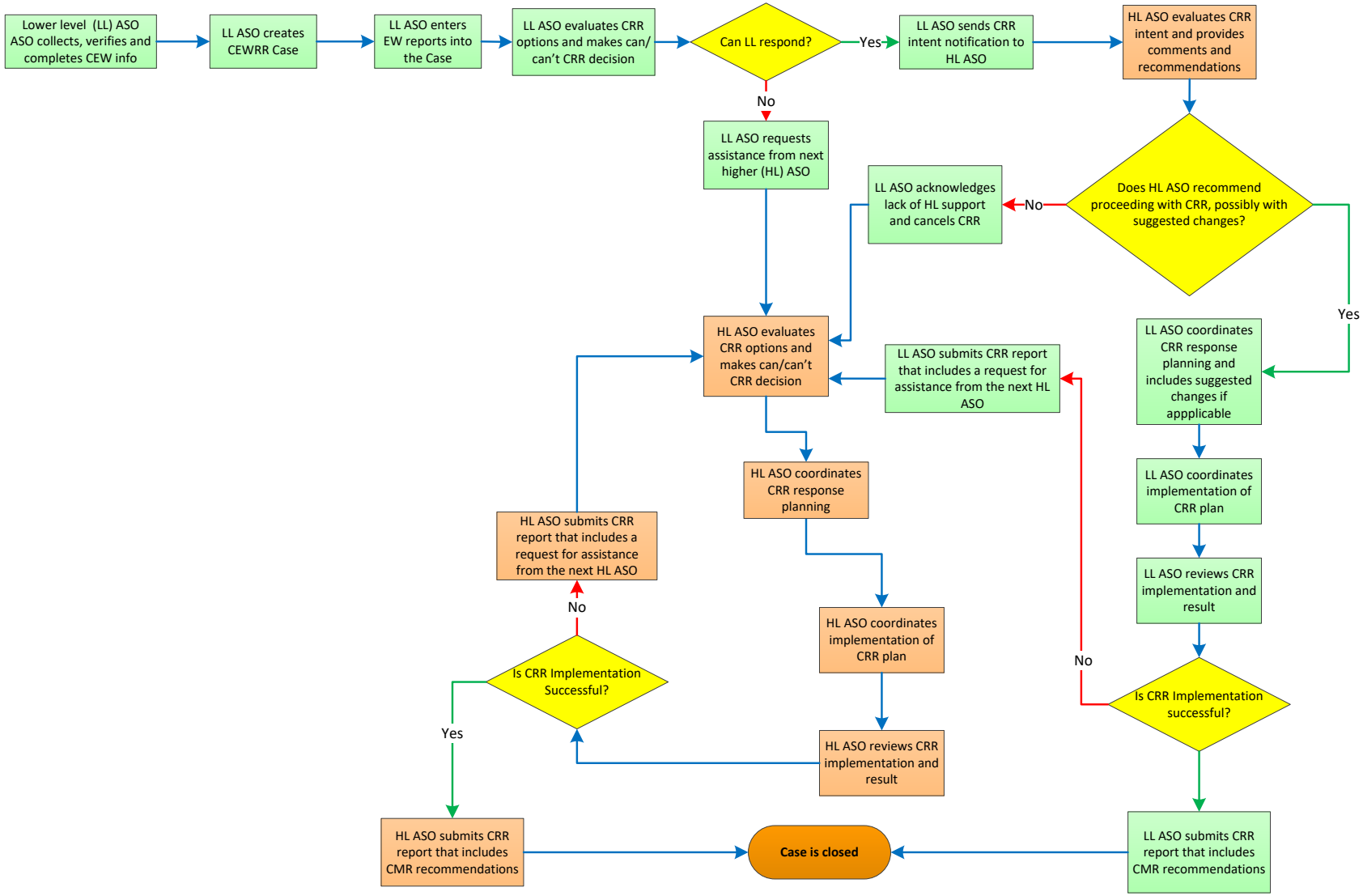
- Report to the State Minister and Minister of Federal and Pastoralist Development Affairs.

These implementation responsibilities will have to be adjusted for locations in Ethiopia that do not conform to the standard hierarchy of KASOs, WASOs, ZASOs and RASOs. For example:

- In Addis Ababa there are no kebeles and woredas report to sub-cities which report to the city administration. Therefore, WASOs will have to absorb the responsibilities of FMs and KASOs, sub-cities will take on the responsibilities of ZASOs and the city administration the responsibilities of RASOs.
- In Dire Dawa kebeles report directly to the city administration which will have to absorb all the responsibilities of WASOs, ZASOs and RASOs.
- In Bahr Dar, Hawassa and Mekele where kebeles report to sub-cities which report to the city administrations. Sub-cities will therefore take on the responsibilities of WASOs and the city administrations of ZASOs.
- In public universities, peace forums will take on the responsibilities of FMs and KASOS, and university administration and security offices (UASO) will take on the responsibilities of WASOs.

The function and decision-making responsibilities between lower and higher level ASOs detailed above are depicted in the diagram below:

CEWRR System Higher and Lower Level Administration and Security Office Interactions



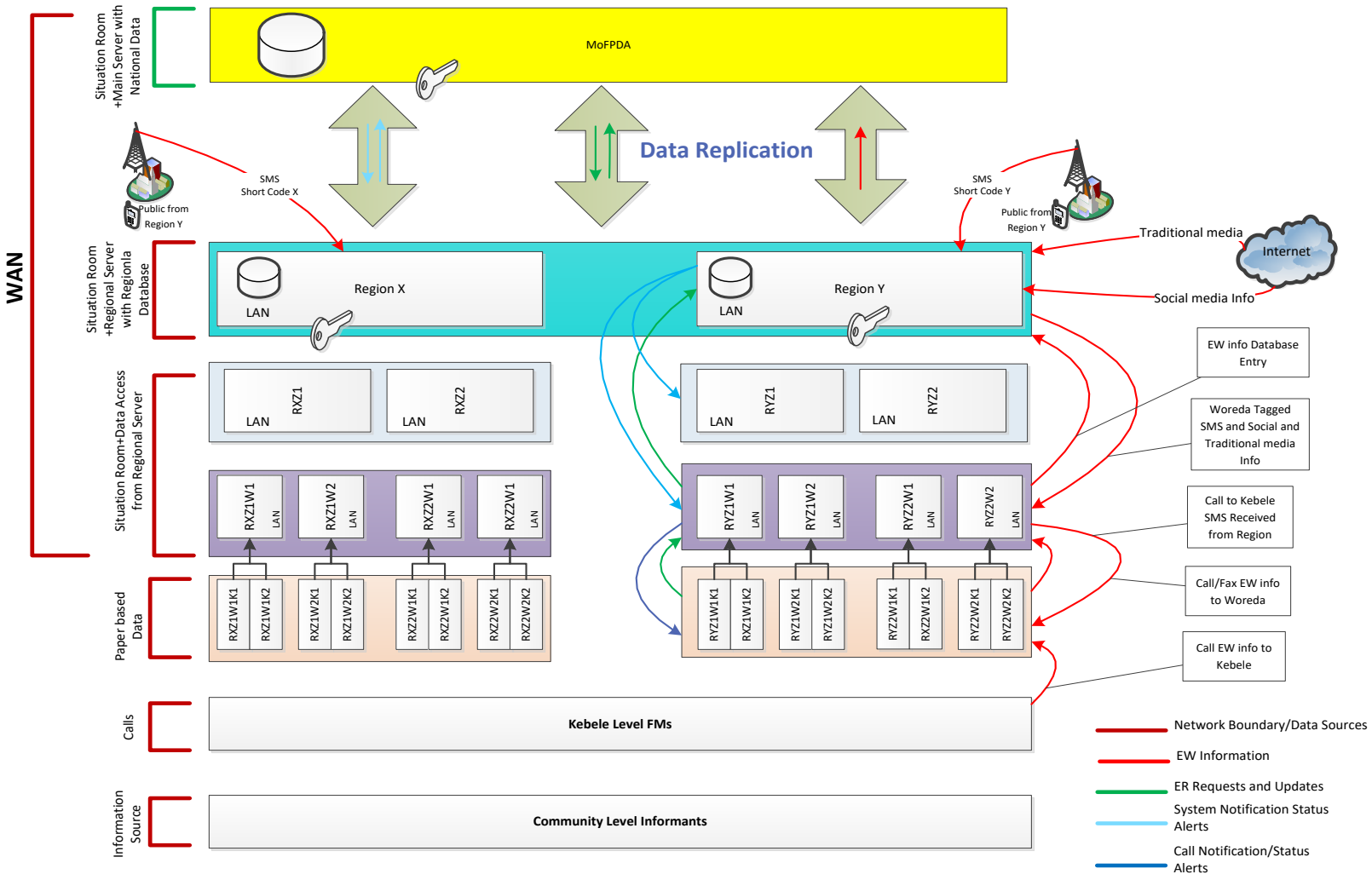
The new CEWRR IT System

Important functions of the new CEWRR IT system and database system will include:

- Real-time instantaneous CEWRR reporting and communication through continuous replication between servers in the EWSSDG and each participating regional state.
- Automatic capture and transfer relevant input from electronic sources (SMS and traditional and social media websites) to relevant WASOs for onward transmission to KASOs for verification, completion and reporting.
- Automatic display of incoming CEW reports by sorting them spatially (locality), thematically and in order of priority (urgency) for higher levels to take note of.
- Automatic grouping and archiving associated CEW and CRR reports in the new “Case” structure that are immediately available to all authorized users.
- Real time required supervision and quality control of CRR planning, self-evaluation of CRR implementation and requests for upper level assistance when CRR has been unsuccessful or a lack of capacity to respond exists.
- Sliding scale situation reporting.
- The mapping of Cases, CEW alerts and incidents and CRR interventions and the graphing of associated data
- The aggregation and presentation of data for longer-term situation and trend analysis.
- The archiving and back-up of all CEWRR entries.
- A profile of the names, job titles, work locations, phone numbers and email addresses for all IT system users and a contact list for all CEWRR system actors by location.

The equipment required to operationalize the CEWRR data base and information flow are detailed in the diagram below:

CEWRR System Higher Level IT Design



CEWRR Training Materials and Operational Guidelines

Current EWSSDG CEWRR training materials and operational guidelines will be updated or added to during the development phase considering all the above. At the same time the software developer will prepare and finalize of IT training materials and a system user guide. These materials will be used to train all piloting participants at the beginning of the phase.

CEWRR Tools, Infrastructure and Resources

One of objectives of the piloting phase will be to determine what FMs, CEWRR experts and IT staff need to fulfill their responsibilities, in the way of personal equipment such as mobile phones and air time and budget resources for logistical and other needs and to share this information with MoFPDA and participating regional states so that the appropriate changes in annual budgets can be made prior to the scale-up phase.

Awareness Raising Campaigns

In addition to system actors, administrative authorities, community leaders and the public have important roles to play in ensuring that the proposed upgrades and reforms produce more effective and efficient. Awareness raising campaigns will be finalized during the development phase and implemented during the piloting and scale-up phases to provide targeted information for each of these three groups that will include guidance on the roles that they are expected to play. For the public this will include specifics on the submission of SMS CEW reports.

Piloting Issue: Selection Criteria

The main purpose of the piloting phase is to produce sufficient information and data for the MoFPDA Tech Com to identify, understand and remedy all weakness inherent in the design of the proposed system upgrades and reforms. To ensure that this objective is achieved, the following criteria for selecting the participating institutions and geographies are suggested:

- At least two regional states, four zones, eight woredas and forty kebeles should participate.
- All of the eight woredas should be “conflict prone” with on-going active conflict issues and should have a good mix of:
  - Larger and smaller urban areas.
  - Agricultural, agro-pastoralist and pastoralist rural areas.
  - Several public universities.
- All administrative authorities and institutions should be receptive and commit to participate in all planning, preparatory, implementation and learning exercises under the parameters of the piloting MoU.
- If possible, all piloting sites should be easily accessible by road and/or air from Addis Ababa and the regional state capitals.