



**REDSO/ESA
CONFLICT MANAGEMENT AND GOVERNANCE**

PERFORMANCE MANAGEMENT PLAN

*Strategic Objective 6: “More Effective Management of Conflict by
African Organizations”*

March 01, 04

**U.S. Agency for International Development
Regional Economic Development and Services Office for East and Southern
Africa (REDSO/ESA)
Nairobi, Kenya**

March 01, 04

Performance Management Plan
SO6 “More Effective Management of Conflict by African Organizations”

TABLE OF CONTENTS

	Page
Section I: Introduction	3
A. Background	3
B. Guiding Principles of the Plan	3
C. PMP Design Process	4
D. Refined Strategy and Draft PMP	5
E. MSI Technical Report	5
Section II: Results Framework and Strategy	6
A. SO 6 Results Framework	6
B. Performance Management Goals: Description of the Strategy	7
C. Rationale	9
D. Challenges	10
E. Critical Assumptions	10
Section III: Program Management	11
A. Management Responsibilities	11
B. Partner and Staff Data Collection Responsibilities	11
C. Data Quality Assessment	12
D. Special Studies and Evaluation	12
Section IV: Indicators	13
A. Performance Indicator Reference Table	13
B. Performance Indicators Reference Sheets and Data Collection Methodologies	15
Annexes	52
A. Amendments to Indicators	53
B. MSI Technical Report Responses	70
C. Selected USAID Partner Profiles	73
D. Matrix of 2001-2003 Activities by Zone	77
E. Data Collection Schedule	80
F. Map of Targeted Conflict Zones	84
G. Acronyms	86

Performance Management Plan
SO6 “More Effective Management of Conflict by African Organizations”

Section I: Introduction

A. Background

In August 2001, REDSO’s Conflict Management and Governance (RCMG) Office developed a revised strategic plan and further developed its Performance Management Plan to reflect changes in the strategy. The Conflict Management and Governance (CMG) team’s Strategic Objective (SO 6) in support of this goal is to “enhance African capacity to manage conflict”. The team plans to achieve this objective through a series of activities supporting the strengthening of institutions working on conflict early warning, prevention and response. This will be carried out through support to institutional strengthening, training, application of effective approaches, networking and research and analysis.

This document is an amendment to the approved draft PMP produced in 2001, but does not differ significantly from the initial Strategic Objective and framework established by the REDSO team addressing Conflict Prevention, Mitigation and Response (CPMR) in 1998. An important rationale for this consistency, as the REDSO CPMR team saw it, was to establish a program and implement it over sufficient time to enable systematic testing of the underlying hypotheses and approaches. As a new sector to USAID, CPMR lacks such a field-tested framework. Nonetheless, several refinements have been made. One is that the original list of indicators has been adjusted to focus more closely on those indicators with strongest management utility for REDSO. Another is the introduction in FY 2004 of the Managing African Conflict IQC, a mechanism that will allow a broadening of the impact of some of our indicators and reporting mechanisms for them. While the CMG strategy and therefore indicators will not change substantially, there will be some adjustments in management of data collection.

USAID requires Operating Units to develop a Performance Management Plan for each strategic objective that describes how program data will be planned, managed and documented. This document outlines REDSO’s conflict prevention strategy.

B. Guiding Principles of the Plan:

To effectively manage conflicts, the people involved require the support of strong organizations dedicated to conflict prevention, mitigation, and response. They can also benefit from need new approaches and tools that have worked in contexts similar to their own. Finally, they need more and better mechanisms for productive inter-group and interpersonal communication. At the present time, however, all of these essential ingredients to effective conflict management are in very short supply in the region.

Increasing the supply of these key components to conflict management in the region is the focus of REDSO’s SO 6. Several important considerations led to the choice of this strategic objective. First is the recognition that the threat and reality of violent conflict is, above all, a regional problem requiring concerted regional solutions to many of its most serious manifestations. Second, REDSO is uniquely situated to help build region-wide capability, particularly by strengthening regional institutions and facilitating the cross-border transfer of best practices, tools, and mechanisms. Third, building capacity for conflict management in the region is not only the most appropriate place to start in this nascent program area, but it is also clearly within REDSO’s “manageable interest,” given a five-year time frame and very limited resource levels.

The achievement of SO 6 -- “More Effective Management of Conflict by African Organizations” -- depends on the achievement of three key intermediate results (IRs):

- I.R. 6.1 African Conflict Management Organizations Strengthened;
- I.R. 6.2 Expanded Application of Effective Approaches; and
- I.R. 6.3 Increased Networking Among Stakeholders in Conflict Situations.

The combination of these three distinct but interrelated IRs working together will significantly increase the chances that conflicting forces can be steered into appropriate channels, that ongoing violent conflicts can be subdued, and that the effects of such conflicts will not lead to violent repetition. By focusing on the strengthening of capacities, REDSO aims to contribute ultimately to more just and peaceful development in the region, especially in the midterm.

REDSO will also work to build capacity in a fourth area, namely, the skills and information among practitioners in the bilateral Missions, who are taking on the challenges in the new and growing field of conflict management. This effort includes training, technical assistance and the performance of flashpoint, vulnerability and policy analyses. Some of these activities will be measured under IR 6.2. It will increase USAID’s understanding of ways to analyze the root causes of conflict, approaches to reduce potentially violent conflict across sectors, and ways to ensure that USAID activities mitigate and do not exacerbate conflict.

C. PMP Design Process:

Under the Greater Horn of Africa Initiative (GHAI) - a Presidential initiative started in 1996 aimed at closing the link between relief and development, the REDSO Conflict Management and Governance team has a special responsibility to manage and implement a regional program to increase African capacity to manage conflict, to assist bilateral missions and non-presence country offices in their conflict prevention programming, and for capturing and disseminating lessons learned in conflict prevention. In 1998, the conflict team designed a strategic framework to reflect its responsibilities under the GHAI. The title of SO 2 then was “African Capacity for Preventing, Mitigating and Responding to Conflict is Strengthened”. Four intermediate program results (IRs) were adopted, including: indigenous organizations for CPMR strengthened; networking, partnership and strategic coordination enhanced; effective mechanisms for responding to CPMR developed and strengthened; and pilot activities established that test practices for CPMR. One IR, “Mechanisms for promoting good governance” was dropped as the team felt it was beyond its manageable interest.

The main results sought under SO2 were to improve the ability and capacity of African-owned organizations to respond to conflict. This was achieved through institutional strengthening, improving technical skills, networking, dissemination and use of best practices, establishment of early warning systems, and support to bilateral missions.

In 2000, USAID/REDSO developed a new Integrated Strategic Plan (ISP) for the period FY 2001-2005. The Mission’s goal for the strategy period is “a healthy, food secure and peaceful region.” The Conflict Management and Governance (CMG) team’s Strategic Objective in support of this goal is “enhanced African capacity to manage conflict”, now under Strategic Objective 6. The SO team intends to achieve this objective by working with intergovernmental, regional and local organizations to improve their skills in conflict resolution and their sustainability as organizations, by improving networking, through studying and disseminating “effective approaches”, through the development of early warning systems, and by

supporting and guiding USAID missions in the region with assessments and programmatic guidance on conflict prevention programs.

D. Refined Strategy and Draft PMP

In August 2001, the Regional Conflict Management and Governance Office of REDSO held a workshop to develop the Performance Monitoring Plan. In response to guidance from AID/Washington, the RCMG team and workshop participants further focused and refined the conflict objective, SO6, in the process. Participation at the workshop included RCMG team members, regional partners, staff from other offices in REDSO, including Food Security, Food for Peace, and Project Development Implementation, and from USAID/Ethiopia and AFR/W. The workshop was facilitated by a professional in democracy and governance and performance measurement accessed through the Peace Building Project, a contract with Management Systems International, Inc. (MSI). An important resource for the retreat was the Evaluation of the Institutional Strengthening and Grant Making (ISGM) Program of the Horn of Africa Support Project (HASP), April 2001. As part of REDSO's program to address conflict and food security issues in the Horn, it has the same essential objective and three intermediate results listed above. The largely positive programmatic findings of the evaluation have reinforced the directions of REDSO's conflict program.

While agreeing on the strengths of the Intermediate Results, the workshop participants agreed that, given the limited resources available to support the achievement of this objective, a geographic focus of funds, efforts and activities on three cross-border conflict zones would be the most effective approach to addressing conflict in the region for a variety of reasons. The rationale supporting this includes the establishment of a 'learning lab' environment, the inclusion of the most conflict-prone countries in the region (Somalia, Sudan and Burundi), and the opportunity to enhance coordination with donor agencies and others working in these areas. Moreover, given the essentially experimental nature of conflict prevention, mitigation, and response, a geographic focus will allow for tracking planned impacts on a systematic basis.

E. MSI Technical Report

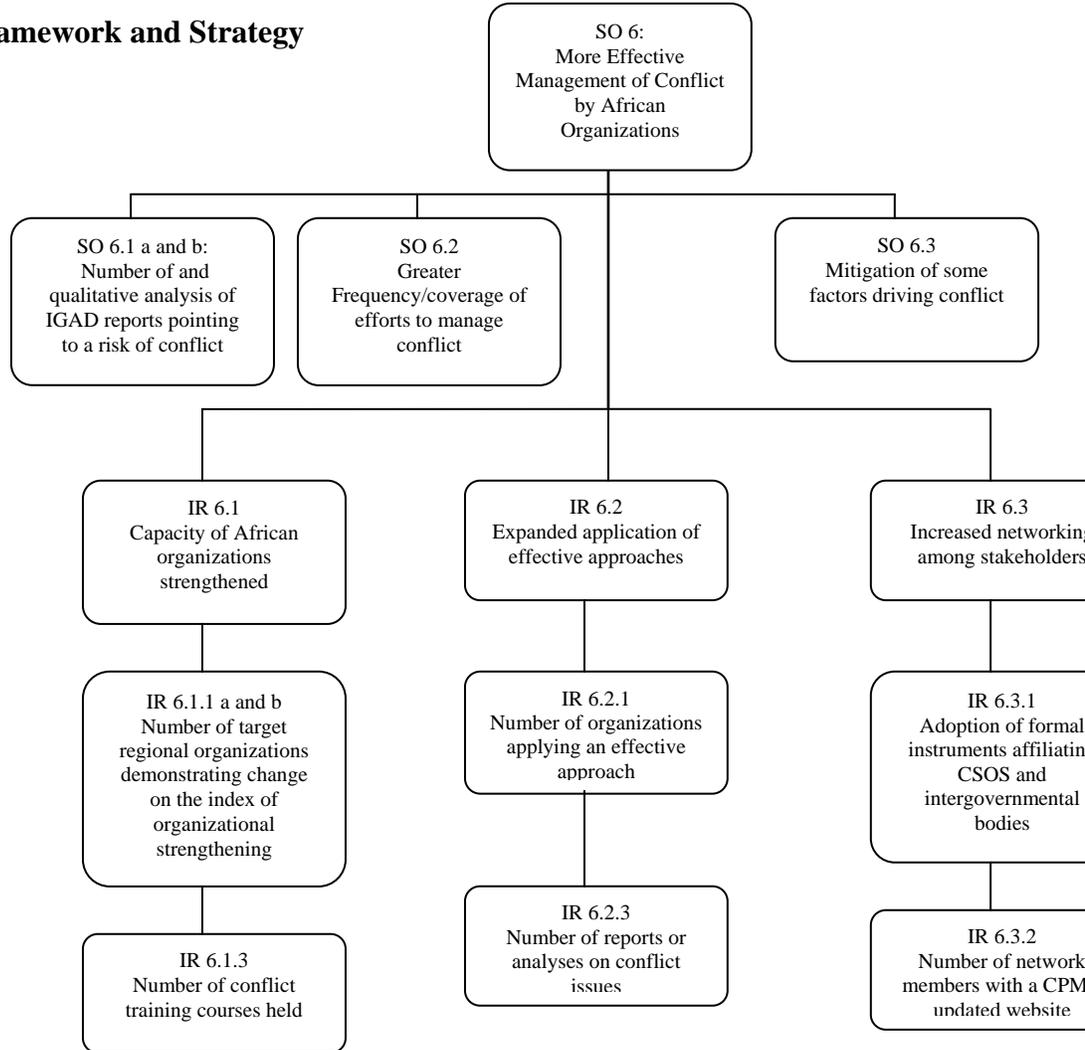
At the end of 2002, Management Services International Inc. was contracted to assist the SO 6 team with the further development of its PMP through collection of data for the reporting period of October 2001-September 2002. The technical report was finalized in January 2003, and in addition to completing its objectives of measuring results for the above period, the team also provided guidance and suggestions to the SO6 team on moving forward with a number of issues to strengthen the PMP. This PMP incorporates the updates which came out of the technical report and responds to a number of questions and suggestions provided by the MSI team.

The MSI Technical Report focused on six indicators under the three intermediate results. It was decided that data collection for the SO-level indicators would not be covered because results at this level could not be expected in the first year of the revised strategy. The MSI team concluded that the SO team is achieving results in building a foundation for more effective management of conflict by African organizations. As per the 2001 refined strategy, activities have been focused substantially in the cross-border conflict zones, both at the formal (operationalization of CEWARN) and the informal (building local skills and capacities) for early warning and response. Finally, it was recommended that a high priority be given to baseline analysis, data collection, and data quality assessments.

The MSI Technical report made a number of recommendations to improving the SO6 PMP. Most of these suggestions have already been incorporated into this document. Please see Annex B for detailed responses to questions and suggestions. Based on the above PMP development processes and consultations with the SO team and the REDSO PMP expert, a number of changes have been made to Indicators proposed in the 2001 PMP and Refined Strategy. These changes and justifications for them can be found in Annex A.

Section II: Results Framework and Strategy

A. Results Framework:



B. Performance Management Goals: Description of the Strategy

Strategic Objective Six aims to improve African capacity to manage conflict in a region facing poverty, political instability and weak infrastructure. Given the vastness of the region and the numerous and complex conflict dynamics faced by every country, the SO team decided that in order to maximize the limited resources devoted to conflict resolution a geographic focus of resources should take precedence. In this way, the team can more easily demonstrate impact on reducing violence, thereby paving the way for future conflict prevention program successes. In addition, the more focused USAID resources the more support we can give to organizations on the ground, thereby increasing their ability to have a long-term impact on conflict.

Demonstrating attribution, i.e. that USAID-funded activities are having an impact on conflict, is the greatest challenge of the team. The number of variables impacting violence levels is high. For example, violence can be caused by climatic changes, flow of arms, poverty levels, weak policing systems, etc. A key underlying assumption being made by the Conflict Management and Governance Team in designing the SO6 strategy is that the presence or absence of a number of factors can lead to conflict. Some of those factors can be influenced positively by program activities. For example, the more conflict analysis and response training given to organizations working in the cross-border zones, the more institutionalized these activities will become within conflict actors in the zones, thus, improving their capacity and skills in resolving conflict.

Geographic Focus in Three Border Zones

Based on the criteria developed at the 2001 workshop and elaborated below, three cross-border conflict zones are identified for special focus. These are:

- Karamojong cluster: NW Kenya, NE Uganda, SE Sudan, SW Ethiopia
- Somali/Boran cross-border area of NE Kenya, Southern Ethiopia, SW Somalia
- Great Lakes including Burundi, Rwanda, NW Tanzania

There are several key benefits to focusing geographically. There is the likelihood of higher, measurable results in the short term, achieved through a reinforcing effect from several CPMR activities operating in the same zone. CPMR activities at different levels (interstate, national, and local) can also reinforce each other, especially when undertaken in collaboration with other assistance providers and local organizations. A case in point are the promising initial results achieved through operation of the interstate and intrastate conflict early warning and response (CEWARN) mechanism hosted by the Intergovernmental Authority on Development (IGAD). It is starting to work with a veterinary organization - AU/IBAR, which has pulled together many stakeholders in the Karamojong cluster to dialogue on ways for reducing conflict in the cluster and thereby reducing the risks posed by armed conflict to providers and receivers of animal services.

IGAD and the CEWARN design team have selected two of the three border zones - the Karamojong cluster and Somali cluster (Northeast Kenya/Southern Ethiopia/Southern Somalia) as target zones in ensuring there is a practical basis for CEWARN, i.e. that some results regarding conflict early warning and response will be achievable in the near term. Each of these border zone clusters include a USAID "non-presence" country: Sudan and Somalia. Both are associated with international terrorism. A careful, coordinated application of CPMR, humanitarian and development resources in these zones may conceivably contribute to reducing the threat of international terrorism as well as mitigating violent conflict.

The third zone, the eastern Great Lakes, similarly offers opportunities for concentrating USAID resources in a key zone of conflict. In addition to coordinated country-level resources, the RCMG will focus on

CPMR approaches with potential for effective and broad impact, such as the media, religious initiatives and problem solving dialogue. Radio broadcasting, for example, has already demonstrated its potential for CPMR in Burundi, western Tanzania and Northern Uganda. The Africa Peace Forum, an RCMG partner, has already been active in the Great Lakes area using some of these approaches. Ongoing USAID activities in Rwanda and Burundi will be helpful for achieving and tracking results, and for learning from experience in the "learning lab" framework. Under the UNDP Peace Building Initiatives in Africa project, UNDP is formulating a targeted activity entitled "Architecture for Security and Development for the Great Lakes Region". One of three planned themes is "the role of civil society in regional peace building". The RCMG has met with team leaders on this project. There are promising areas for collaboration on conflict-related research and application of civil society approaches at all project stages, including analysis, assessment, donor coordination, project formulation, and implementation.

In sum, a focus on key border zones will enable CPMR practitioners to: 1) address priority CPMR issues systematically; 2) collaborate with other donors; 3) design program interventions promising sustained impact; and, 4) learn from intensive efforts undertaken in a geographically defined area. We see the potential for learning as akin to what one would expect from launching a "learning lab" in the field, despite the difficulty of tracking results in CPMR in general.

Strengthen the organizational and technical capacity of targeted African organizations to carry out CPMR

The number of organizations to receive assistance in building organizational and technical capacity in the field of CPMR is limited under the refined strategy and results framework. Organizations include the Inter-Governmental Authority on Development (IGAD), the Common Market for East and Southern Africa (COMESA), and the East African Community (EAC). While REDSO's Food Security team will take the lead in strengthening the organizational capacity of IGAD and COMESA, the Regional Conflict Prevention Team will have responsibility for strengthening the conflict prevention branches of these organizations. In addition, the RCMG will help the EAC develop its regional legislative body involving Uganda, Kenya, Tanzania, and potentially, in the medium term, Rwanda. As mentioned above, IGAD is playing a key role in addressing CPMR issues in two of the target border zones. COMESA and EAC offer potential for assistance in addressing CPMR issues in the third zone, the Eastern Great Lakes. The RCMG's main regional civil society partner receiving organizational development is the Nairobi-based Africa Peace Forum. APFO has been identified as a key partner in the achievement of the strategic objective because it is tackling CPMR issues in all three border zones, is helping to develop a regional conflict early warning and response mechanism and has an active network addressing peace issues in the Great Lakes. Other civil society organizations are receiving concentrated assistance over time, such as the National Council of Churches of Kenya (NCCCK) and various local NGOs working in border areas.

Expand the application of effective approaches in managing conflict

The dynamics of how selective approaches achieve results were initially explored in the MSI 2001 study "The Effectiveness of Civil Society Initiatives in Controlling Violent Conflicts and Building Peace: A Study of Three Approaches in the Greater Horn of Africa". Additional testing and research is needed on these and others as approaches funded independently and supported as part of an integrated program of CPMR in a designated zone. Although there is a wide variety of potential approaches, the strategy focuses on supporting a limited number that promise early, measurable results when applied either independently, or in combination with other approaches. These are:

- **media**, particularly radio broadcasting, to encourage de-escalation of conflict through the balanced dissemination of information and messages of peace, tolerance, reconciliation and promotion of informal dialogue through media channels to counteract inflammatory or polarizing messages by leaders or institutions.

- **problem-solving dialogues**, or peace processes using face-to-face dialogue between communities in conflict which often incorporate adapted traditional conflict resolution methodologies
- **religious or faith-based approaches**, broadly defined as initiatives that use moral suasion and the stature of religious leaders to make progress on reconciling conflicting parties.

The bulk of resources will be directed toward the three main approaches and will build on existing activities. A small amount of funding will be reserved for applying other useful approaches of direct relevance to the three target zones that would likely produce short-term impact.

Increased networking among stakeholders in CPMR

Development of networks and other mechanisms for sharing resources and gaining impact has been referred to above. CEWARN, the conflict early warning and response network hosted by IGAD, and regional modalities being developed by COMESA, are examples of regional networking mechanisms. Networks of civil society organizations addressing particular topics, e.g. media or religious-based initiatives, are another. It is possible that promotion of such networks and systematic sharing of information may play a small role in addressing the broader, more global issue of international terrorism. A fundamental element of these CPMR mechanisms is development and reinforcement of relationships through face-to-face and email communication. Most important for effective conflict early warning and response, however, is a comprehensive approach - achieved by fostering linkages between regional intergovernmental organizations, governments, and civil society in a variety of forms.

C. Rationale

Prior to this new strategic refinement, REDSO's program was more experimental and demand driven. The RCMG team managed two grant giving programs, which aimed at encouraging the involvement of organizations at the local, national and regional level, and USAID bilateral missions in Management and Governance program supported development of a highly innovative Conflict Early Warning and Response (CEWARN) mechanism in partnership with the Intergovernmental Authority on Development (IGAD) a regional organization of seven states based in Djibouti - and activities with another interstate regional organization, COMESA - the Common Market for East and Southern Africa. For the most part, groups and organizations sought funding for activities in the new field of CPMR, while specifying relatively diffuse results. While REDSO should respond to demand for assistance to CPMR activities, applications for assistance may be more an indication of access to information about USAID assistance programs than actual need. The scale of conflict in the three targeted border areas has not been represented by funding applications emanating from these areas.

The PMP described above provides for much greater focus of approach and results in CPMR. Focusing on three approaches and a few African organizations will allow for greater intensity of purpose and results. Focusing on three target border zones will provide the same. Working in partnership with bilateral missions and non-presence country programs as well as implementing partners should ensure that the strategic importance of these zones is reaches the forefront in program implementation.

The new focus on the three border zones will not necessarily have an overwhelming negative impact in other areas we have supported. While there may be some requests for funding or support that may be turned down from applicants outside the zones, the skills we are building in the region will also reach out to other conflict zones. For example, Africa Peace Forum, which is receiving institutional strengthening and a grant under ISGM, operates a number of CPMR programs within their normal program activities. Therefore, strengthening them as an organization will have a positive impact on their other activities in the region. Where CQUICK funding can play an important role in mitigating escalation of conflict outside these areas, the CQUICK review committee will consider funding these initiatives, especially where an

“effective approach” is being implemented in areas of potentially escalating conflict. ISGM will similarly be encouraged to target resources in the three border zones, but there will continue to be resources directed outside these zones as well.

The underlying hypothesis driving the conflict prevention strategy is that the causes and triggers of conflict are both local and regional. If local capacities for peace are utilized to channel dissent and disagreement, all other things being equal, conflict will be reduced. Improving channels includes building the capacities of organizations and individuals within those organizations, spreading technologies through dissemination of best practices or “effective approaches”, building the body of analysis on conflict issues, expanding networks, and engaging intergovernmental organizations and their member governments in early warning and response.

D. Challenges

REDSO conflict programs under SO 6 operate in an environment that recognizes the role conflict plays in retarding or reversing development. Conflict represents a breakdown or lack of social structures that can effectively manage conflict at a level that will not erupt into violence. In peaceful areas, strong social structures provide opportunities for individuals to engage in positive interactions to negotiate for access to a wide variety of resources such as political power and economic opportunities. As a result, measuring results from conflict prevention interventions is difficult because what is really at the heart of change is building relationships, trust and structures (formal or informal) that do not readily lend themselves to measurement. In the White Paper produced by the AID Administrator’s Office in September 2003, recognition is given to the difficulty in measuring results in Failed and Failing States. The paper says “There are a large number of issues surrounding fragile states, including issues of definitions, indicators, how to gauge commitment, whether and how foreign aid can make a difference, and how to define and measure results.” (p.23). REDSO CMG is supporting actors on the ground to improve their skills and institutional capacity to identify problems, research and analyze the problems and possible solutions, and implement activities to realize those solutions. Demonstrating inputs of programs is fairly straightforward; showing impact directly attributable to USAID is less easy.

E. Critical Assumptions:

SO 6 is based on the following basic hypothesis: If competition and conflict are managed more effectively in the ESA region than they have been managed in the past, then there will be less violent conflict in the region. In order for conflict to be managed more effectively on a long-term sustainable basis, however, there must be increased capacity for conflict management, in terms of appropriate mechanisms, policies, and institutions. More specifically, this capacity includes the synergistic combination of: 1) the institutional and technical capacity of regional organizations, 2) an expanded base of innovative, complementary and mutually reinforcing methods and tools for influencing the outcomes of potentially violent conflict; and 3) the capacity for broader and more effective communications, both to identify and share tools and approaches and to facilitate dialogue among conflict stakeholders.

Testing this hypothesis and achieving measurable results in this new and very difficult field will take time and sustained effort. Given the potential magnitude of destruction and misery typically unleashed by uncontrolled violent conflict, it is anticipated that: 1) even small interventions in conflict management can lead to favorable consequences; 2) in the near term, the combination of resources applied will increase the learning curve and realize some synergistic impact; 3) even minor impact will allow policy makers to judge the value of USAID's investments being made in this new sector; and, 4) in the medium and longer term, USAID may be encouraged by results to make a sustained commitment of resources to the issue.

In terms of the operating environment, a number of assumptions underlie the achievement of this SO. One is that there is political will both at a local level, of local administrations, NGOs and other stakeholders, to mitigate conflict. The second is that a number of structural and proximate causes relating to conflict which lie outside the mandate of USAID or the RCMG are being addressed by other donors and actors. These issues include the proliferation of small arms, economic and political policy development and commitment of resources to and development certain infrastructure programs such as education, health care, roads, and communications networks.

Section III: Program Management

A. Management Responsibilities:

The management and implementation of the SO 6 Performance Monitoring Plan is the responsibility of the entire Conflict Management and Governance Team. Overall responsibility is with the Team Leader working with support from the rest of the team. The new Program Manager has the responsibility for ensuring that PMP requirements are being met, working with team members to refine and amend indicators as necessary, and ensure data collection deadlines are being met. In January/February 2004, the entire team should undergo a modified PMP training with Shirley Erves to ensure staff understand their management responsibilities under the PMP and improve reporting and analysis skills.

B. Partner and Staff Data Collection Responsibilities:

Performance Indicators	USAID Partner(s)	Timing of Data Reports	Send Data Reports to:
SO 6.1 a) Number of situation reports produced by IGAD, and; b) Qualitative analysis of IGAD situation reports pointing to a serious risk of conflict	IGAD/CEWARN	Annual	Greeley/Karuru, Chege
SO 6.2: Greater frequency/coverage of efforts to manage conflict in the three target conflict zones	All*	Annual	Greeley, Chege
SO 6.3: Mitigation of some factors driving conflict in the three target conflict zones	All*	Annual	Chege
IR 6.1.1: Number of target regional organizations demonstrating change on the index of organizational strengthening	PACT, DAI, others	Annual	Karuru via Ward and Oluoch
IR 6.1.2: Number of target groups demonstrating progress on selected institutional strengthening criteria (proxy for IR 6.1.1)	PACT, DAI	Annual	Karuru via Ward
IR 6.1.3: Number of conflict analysis training courses conducted annually	PACT/Mwengo, DAI, others	Biennial	Karuru
IR 6.2.1 Number of organizations applying an effective approach (inside and outside of target zones)	Various	Quarterly	Chege
IR 6.2.2: Number of conflict analyses and studies produced	Various	Biennial	Chege
IR 6.3.1: Adoption of formal instruments for CSOs to affiliate with intergovernmental bodies addressing conflict in the region	IGAD, COMESA, EAC	Annual	Karuru
IR 6.3.2 Number of targeted network members with a CPMR website updated in the last 12 months	Partners	Annual	Wachira

* Annual partner meetings will take place by cluster to review progress under the SO-level indicators, identify changes in the operating environment including improvements to early warning and response systems and growth in social capital, and to develop a narrative of overall changes in the zone as a result of USAID programming.

C. Data Quality Assessments:

The deadline for data quality assessments for all IR-level indicators is November 2003. Data collection methodologies have been defined for each IR, and DQAs have been completed.

D. Special Studies and Evaluations

REDSO CMG will engage in or support a number of special studies, the majority of which will be reported under IR 6.2.2. Designing and conducting Conflict Vulnerability Assessments will make up a large portion of staff time and resources. CVAs are required before the Strategic Planning process, and must be integrated into missions and NPCs Integrated Strategic Plans. When requested, the SO 6 team works closely with bilateral missions and NPCCs to carry out the assessment based on the Conflict Vulnerability Framework designed by the Team, design a Scope of Work to reflect the missions' unique national challenges, and liaise with the CVA team and mission staff to ensure the draft and final documents respect the SOW, and work with missions to guide program strategies in line with CVA findings.

In addition, as one SO team objective is to "expand the application of effective approaches", special studies will be carried out to examine cases where an identified effective approach is having a positive impact on conflict mitigation. Two or three cases, preferable those that have been funded by USAID, will be selected and studied with the aim of drawing out lessons learned for other conflict prevention practitioners to apply. In 2001, the Peace Building Project under MSI conducted a series of case studies which identified the effective approaches of local problem-solving dialogue, media, and faith-based initiatives. The team has identified a new effective approach, development services, and three supporting case studies (AU-IBAR, CIFA and WASDA) for study in 2003/2004. The successful completion of the case studies will link with other IRs through grants to organizations implementing the effective approach and through training courses on conflict.

Over the life of the strategy, a number of evaluations have or will take place to examine the impacts of USAID/CMG programs. In 2001, Development Associates Inc. conducted an evaluation on PACT's Institutional Strengthening and Grant-Making Program (ISGM). In January 2003, MSI concluded a technical report on SO6's Performance Management Plan and to assist in collecting data for the 2002 Annual Report. A study is currently (February/March 2004) underway to examine the effectiveness of the CQUICK and CPAF funding mechanisms. Finally, in FY 2004 resources will be budgeted for a formal evaluation of REDSO's conflict management and governance program in order to assist the team in amending some activities for the remainder of the strategy and to help define new activities for the following strategy.

In May 2003, a meeting was held with Karamoja Cluster partners and other organizations to help groups to understand SO6 Indicators and to brainstorm on indicators from the zone that would represent mitigation of factors leading to a reduction of conflict. The results from this meeting were fed into the development of the Index for SO 6.3.

Section IV: Performance Indicators Reference Table

SO or IR	RESULTS STATEMENT	INDICATOR	UNIT OF MEASURE	DISAGGREG A-TION	BASELINE		TARGET		ACTUAL	
					Year	Value	Year	Value	Year	Value
SO 6.1a	More Effective Management of Conflict by African Organizations	Number of situation reports produced by IGAD warning of a risk of conflict	Number	Conflict zones	2001	0	2004 2005	6 8	2004 2005	X X
SO 6.1b		Qualitative analysis of IGAD situation reports pointing to a serious risk of conflict	narrative	N/A	2001	0	2004 2005	X X	2004 2005	X X
SO 6.2		Greater frequency/ coverage of efforts to manage conflict in the three target/ conflict zones	IR indicators leading to narrative description	Conflict zones	2001	0	2003 2005	56 99	2003 2005	53 X
SO 6.3		Mitigation of some factors driving conflict in the target conflict zones	Conflict factors	Conflict zones	2001	0	2004 or 2005	X	2004 or 2005	X
IR 6.1.1	Capacity of African-Owned conflict management organizations strengthened	Organizational capacity of regional or target zone conflict prevention NGOs	Average	By category and organization	2000	1.7	2003	2.4- 3.5	2003	3.5
IR 6.1.2		Organizational Capacity of regional or target zone conflict prevention NGOs in selected elements of the OCAT (proxy for IR 6.1.1)	Average	By category and group	2001	2.0	2002 2003	9 9	2002 2003	9 9
IR 6.1.3		Number of conflict training courses conducted	Number	By target conflict zones/other	2001	2	2002 2003 2004 2005	4 12 6 6	2002 2003 2004 2005	11 16 X X
IR 6.2.1a	Expanded application of effective approaches in managing conflict	Number of organizations applying an effective approaches in three cross-border areas	Organization	By conflict zone and effective approach	2001	6	2002 2003 2004 2005	5 16 13 13	2002 2003 2004 2005	13 16 X X
IR 6.2.1b		Number of organizations applying an effective approach outside the three zones	Organization	By effective approach	2001	11	2002 2003 2004 2005	5 3 3 3	2002 2003 2004 2005	5 3 X X
IR 6.2.1c		Number of organizations applying a faith-based approach	Organization	N/A	2001	4	2002 2003 2004 2005	1 3 3 3	2002 2003 2004 2005	1 2 X X
IR 6.2.1d		Number of target groups applying a local problem-solving dialogue approach	Organization	N/A	2001	12	2002 2003 2004 2005	5 7 8 8	2002 2003 2004 2005	14 4 X X

SO or IR	RESULTS STATEMENT	INDICATOR	UNIT OF MEASURE	DISAGGREGATION	BASELINE		TARGET		ACTUAL	
					Year	Value	Year	Value	Year	Value
IR 6.2.1e		Number of target groups applying a media approach	Organization	N/A	2001	1	2002	1	2002	2
							2003	4	2003	X
							2004	4	2004	X
							2005	4	2005	X
IR 6.2.3		Number of conflict analyses and studies produced	Conflict vulnerability assessments, studies, published reports	By conflict zone, outside zones	2001	9	2002	1	2002	5
							2003	4	2003	5
							2004	3	2004	X
							2005	3	2005	X
IR 6.3.1	Increased Networking among Stakeholders in CPMR	Adoption of formal instruments for CSOs to affiliate with intergovernmental bodies addressing conflict	Number of protocols, rules of procedure	COMESA, IGAD and maybe EAC at a later date	2000	0	2002	2	2002	4
							2003	5	2003	4
							2004	2	2004	X
							2005	1	2005	X
IR 6.3.2		Number of targeted network members with a CPMR website updated in the last 12 months	Number	Zones, networks	2001	4	2002	3	2002	2
							2003	4	2003	3
							2004	8	2004	X
							2005	10	2005	X

A. Performance Indicator Reference Sheets and Data Collection Methodologies

Performance Indicator Reference Sheet
Strategic Objective 6: More Effective Management of Conflict by African Organizations
Indicator 1: a) # situation reports produced by IGAD warning of a risk of conflict
DESCRIPTION
<p>Precise Definition: A situation report is a report produced by IGAD analysts whose job it will be to take information regarding conflict from the network and prepare reports documenting those warning of a risk of conflict. Conflict early warning signals were determined by stakeholders in 2002. Situation reports include a set of indicators reporting either a normal situation on the ground or potential for deadly armed conflict and are produced weekly by CEWARN field monitors. Situation reports also provide information on conflict main actors such as military activity, politicians, development actors and the community. These reports will provide a ready universe for monitoring the extent to which the early warning system is functioning.</p> <p>Unit of Measure: Number</p> <p>Disaggregated by: conflict zone</p> <p>Justification/Management Utility: one measure to show that Conflict Early Warning Systems are functioning in the region</p>
PLAN FOR DATA ACQUISITION BY USAID
<p>Data Collection Method: IGAD analysts in CEWARN headquarters will analyze the reports to determine potential for armed conflict. Reports are prepared by district-based field monitors and channeled through Country Coordinators. SO team will receive reports from IGAD analysts.</p> <p>Method of Acquisition by USAID: USAID will request a count as well as copies of the reports.</p> <p>Data Source(s): IGAD</p> <p>Timing/Frequency of Data Acquisition: annual, beginning last quarter of calendar year 2003.</p> <p>Estimated Cost of Data Acquisition: low</p> <p>Responsible Individual(s) at USAID: Njeri Karuru, Wangeci Chege</p>
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
<p>Data Analysis: Assess productivity in taking information from CEWARUS and members and writing up situation reports. Compare reports with other sources to determine whether important emerging conflicts in IGAD's coverage area were missed. IGAD and USAID will do together.</p> <p>Presentation of Data: narrative</p> <p>Review of Data: Annual Report, PIR, Triannual Review</p> <p>Reporting of Data:</p>
DATA QUALITY ISSUES
<p>Date of Initial Data Quality Assessment: 2004</p> <p>Known Data Limitations and Significance (if any): not know at this time; quality should be good</p> <p>Actions Taken or Planned to Address Data Limitations:</p> <p>Date of Future Data Quality Assessments: N/A</p> <p>Procedures for Future Data Quality Assessments: N/A</p>
OTHER NOTES
<p>(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)</p> <p>Note on Baselines/Targets: baseline is zero in 2001 since IGAD is establishing itself and setting up country units (CEWERUS). Targets are difficult to set because while a situation report may indicate a risk of conflict, other activities in the program may also be mitigating that conflict.</p> <p>Data Storage: IGAD and SO Team</p>
THIS SHEET LAST UPDATED ON: 3/1/04

Performance Indicator Reference Sheet

Strategic Objective 6: More Effective Management of Conflict by African Organizations

Indicator 1: b) qualitative analysis of IGAD situation report pointing to a risk of serious conflict

DESCRIPTION

Precise Definition: Universe includes only those situation reports that identify a risk of serious, violent conflict. Will review all such analyses if the number of reports is fairly small or will select a sample if the number is large. Criteria for the analysis include:

Quality of the analysis:

- problems are being identified in a timely manner; i.e., before they lead to serious conflict
- problems and vulnerable populations are correctly identified
- the conflict dynamic is reasonably well understood

Quality of the response:

- appropriate groups become involved in responding to the problem
- the response is of an appropriate scale and type
- the response is timely

Unit of Measure: narrative

Disaggregated by: n/a

Justification/Management Utility: gives good information about the quality & timeliness of the situation reports and the timeliness and appropriateness of the response

PLAN FOR DATA ACQUISITION BY USAID

Data Collection Method: USAID (either directly or through a contract mechanism), IGAD representatives and possibly key NGO partners involved in IGAD will conduct this review jointly on an annual basis. IGAD conflict analysts will provide those situation reports produced during the previous 12 months that warn of serious conflict. This review will also produce data for S.O. indicator 2. As target areas for situation reports will in part be determined by demand, situation reports on areas outside the three conflict zones may also be assessed. May need to collect follow up information from CSOs and IGAD members about the response to the situation, although IGAD's conflict unit should track the response as a way to determine if its own efforts are making a difference. If additional data are required, suggest key informant interviews, using short protocol to be developed by IGAD and USAID.

Method of Acquisition by USAID: will organize and participate in the review

Data Source(s): IGAD situation reports

Timing/Frequency of Data Acquisition: annual, beginning at end of FY 2004

Estimated Cost of Data Acquisition: medium, unless must collect considerable data about the response to the alert, and then the cost will be high

Responsible Individual(s) at USAID: Njeri Karuru, Wangeci Chege

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Will establish criteria for judging whether reports meet quality standard and then based on this will assess the quality of the analysis and whether improvements are needed. Will also look at the kind of response being generated by the early warning system. Will look for patterns that would tell IGAD if changes are needed. USAID and IGAD to do together.

Presentation of Data: The data will be presented as a narrative describing particular conflict situations and responses, as well as a summary of findings about whether or not the team reviewing documentation felt that warnings of risk were correct.

Review of Data: The data will be reviewed for Annual Report.

Reporting of Data: Reporting will be internal as needed such as Annual Report, Program Implementation Review, reports to Ambassador, etc.

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: 2004 as the first year of implementation

Known Data Limitations and Significance (if any): Data quality should be good in terms of the situation reports. Data concerning the response may be more problematic in terms of completeness and timeliness.

Actions Taken or Planned to Address Data Limitations: USAID will try to ensure that IGAD is set up to track responses to EWS alerts. USAID and IGAD will conduct additional interviews and document reviews if IGAD reporting on the response is inadequate.

Date of Future Data Quality Assessments: Given the various delays in operationalization of CEWARN, data will be assessed in 2004 and 2005. This will help establish good data collection standards within IGAD.

Procedures for Future Data Quality Assessments: Interviewing to confirm or flesh out IGAD data on response to EWS alert.

OTHER NOTES

(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)

Note on Baselines/Targets: The baseline in 2001 is zero. Target to see good quality analyses done and improvement in the response timeliness and adequacy.

Data Storage: SO team

THIS SHEET LAST UPDATED ON: 3/01/04

Methodology for Collecting Data
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6.1a: Number of situation reports produced by IGAD warning of a risk of conflict

Indicator(s) and precise definitions:

A situation report is a report produced by IGAD analysts whose job is to take information regarding conflict from the network and prepare reports documenting those warning of a risk of conflict. Conflict Early Warning signals were determined by stakeholders in 2002. Situation reports include a set of indicators reporting either a normal situation on the ground or potential for deadly conflict and produced weekly by CEWARN field monitors. Situation reports also provide information on conflict main actors such a military activity, politicians, development actors and the community. These reports will provide a ready universe for monitoring the extent to which the early warning system is functioning.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

a) Method specification (e.g. survey, interviews, documentation review)

CEWARN will have field based coordinators in each country to collect conflict related early warning information. These reports will be filed to the country coordinators and eventually to the CEWARN offices in Addis for collating and analyses. IGAD analyst in the CEWARN headquarters will analyze the reports to determine potential for armed conflict which will then be transmitted back to member states for action.

b) Specific instrument to be used (e.g. survey questionnaire)

Survey questionnaire will be used to obtain data through interviews with stakeholders

c) Other mode of selecting precise data source

N/A

d) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)

Collection of data started in June 03 and an assessment has not been undertaken to verify this as of now (November 2003)

2) Written procedures

a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)

1. The initial focus sites for collection of data are the pastoral regions of Karamoja Cluster and Somalia/Ethiopia/Kenya border. The data collection instrument has a list of indicators and the field coordinators have to check which of the indicators apply to their zones.
2. Stakeholders in each site will be interviewed to determine the indicators that can reflect likelihood of conflict occurring.
3. The country coordinators will then compile a report using the forms and then send the forms and the report to the CEWARN offices.
4. Analysis of the information is then done at this level.

b) Define potential limitations, bias factors

The ICT infrastructure in the target regions is relatively undeveloped. There may be delays as a result of poor transmission of information. The response mechanism is not clearly defined

at the moment and it may be difficult to act on information in a timely manner. This will, however, be sorted out since the information collection and data analysis is just beginning.

F. Define categories of how data are to be presented

Data will be presented through reports.

ANALYSIS AND PRESENTATION

a) Mode of Analysis

- a) Quantitative (describe procedures, statistical or otherwise)**
Number of reports produced
- b) Qualitative (describe procedures – e.g. content analysis)**
Narrative report based from CEWARN offices.
- c) Mix of qualitative and quantitative (describe how each supports the other)**
N/A
- d) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative**
Narrative Report
- e) Rationale for Analysis/Interpretation**
Reports will provide valuable data on conflict indicators in each region which will be used for response. This will reduce violent conflicts.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

1. Steps on designing and testing the instrument

- a) Steps for design**
The range of indicators have already been agreed on
- b) Steps to testing instruments**
Data collection instrument have been developed and tested.

2. Unique features – It is the first Conflict Early Warning and Response Network developed under IGAD to cover the region.

3. The instrument itself – It is the first time it is in use in the region.

Methodology for Collecting Data
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6.1.b. Qualitative analysis of IGAD situation report pointing to a risk of serious conflict

Indicator(s) and precise definitions:

Universe includes only those situation reports that identify a risk of serious, violent conflict.

Criteria for the analysis will include:-

Quality of the analysis:

- problems are being identified in a timely manner; i.e., before they lead to serious conflict
- problems and vulnerable populations are correctly identified
- the conflict dynamic is reasonably well understood

Quality of the response:

- appropriate groups become involved in responding to the problem
- the response is of an appropriate scale and type
- the response is timely

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

a) Method specification (e.g. survey, interviews, documentation review)

USAID, IGAD representatives and possibly key NGO partners involved in IGAD will conduct this review jointly on an annual basis. IGAD conflict analysts will provide those situation reports produced during the previous 12 months that warn of serious conflict. This review will also produce data for S.O. indicator 2. As target areas for situation reports will in part be determined by demand, situation reports on areas outside the three conflict zones may also be assessed.

Many need to collect follow up information from CSO's and IGAD members about the response to the situation, although IGAD's conflict unit should track the response as a way to determine if its own efforts are making a difference. If additional data are required, suggest key informant interviews, using short protocol to be developed by IGAD and USAID.

b) Specific instrument to be used (e.g. survey questionnaire)

Informant interviews and IGAD situational reports

c) Other mode of selecting precise data source

N/A

d) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)

Beginning at end of FY 2004

2) Written procedures

a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)

1. The initial focus sites for collection of data are the pastoral regions of Karamoja Cluster and Somalia/Ethiopia/Kenya border. The data collection instrument has a list of indicators and the field coordinators have to check which of the indicators apply to their zones.
2. Stakeholders in each site will be interviewed to determine the indicators that can reflect likelihood of conflict occurring.

3. The country coordinators will then compile a report using the forms and then send the forms and the report to the CEWARN offices.
4. Analysis of the information is then done at this level.

b) Define potential limitations, bias factors

Data concerning the response may be more problematic in terms of completeness and timeliness. The response mechanism is not clearly defined at the moment and it may be difficult to act on information in a timely manner. This will, however, be sorted out since the information collection and data analysis is just beginning.

c) Define categories of how data are to be presented

Data will be presented through reports.

ANALYSIS AND PRESENTATION

1. Mode of Analysis

a) Quantitative (describe procedures, statistical or otherwise)

Narrative situation reports to be produced

b) Qualitative (describe procedures – e.g. content analysis)

Narrative report from USAID (either directly or through a contract mechanism), IGAD representatives and possibly key NGO partners involved in IGAD will conduct reviews jointly.

c) Mix of qualitative and quantitative (describe how each supports the other)

N/A

d) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative

Narrative report describing particular conflict situations and responses, as well as a summary of findings about whether or not the team reviewing documentation feels that warnings of risk were correct.

e) Rationale for Analysis/Interpretation

Reports will provide valuable data on situation reports in each region. This will help in the establishing of a criterion for judging whether reports meet quality standards and then based on this, will assess the quality of the analysis and whether improvements are needed. Will also look at the kind of response being generated by the early warning system. Will look for patterns that would tell IGAD if changes are needed.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

1. Steps on designing and testing the instrument

a) Steps for design

The range of indicators have already been agreed on

b) Steps to testing instruments

Data collection instrument have been developed and tested.

2. Unique features – It is the first Conflict Early Warning and Response Network developed under IGAD to cover the region.

3. The instrument itself – It is the first time it is in use in the region.

Performance Indicator Reference Sheet

Strategic Objective 6: More Effective Management of Conflict by African Organizations

Indicator 2: Greater frequency/coverage of efforts to manage conflicts in the three target conflict zones

This indicator is being dropped. See note below.***

DESCRIPTION

Precise Definition: Quality review conducted using the following criteria:

- Networking among NGOs and among NGOs and government representatives occurs to exchange information and coordinate activity.
- Intergovernmental/NGO early warning system(s) are functioning to alert relevant actors to flashpoints and emerging problems (factors include the operation of country and local level CEWERUs). On-going data collection and analysis tracks conflict tensions and dynamics. This criterion overlap to some extent with the networking one but measures one particular aspect of networking, or that of pointing to emerging situations that could exacerbate conflict.
- New and varied channels of public outreach and stakeholder dialogue set up, e.g., newsletters, regular meetings.
- Relevant USAID missions are involved in working with REDSO on mitigating conflict in the zones.
- Increase in quality training and TA services provided by African organizations to those who are working in or have the potential to contribute to CPMR.
- Greater abundance of cross-sectoral approaches being used to mitigate conflict (e.g. veterinarians skilled in conflict resolution using their skills in pastoralist areas; critically needed development resources more abundant and better targeted in conflict areas, local problem-solving dialogues).
- Central and/or regional government engaged in a more consistent manner.
- Coverage of these efforts expands over time.

Criteria may be revised subsequent to data collection for baseline – baseline revised to reflect and then will be applied for performance monitoring.

There is a question regarding attribution to USAID efforts – this indicator must collect data relative to USAID efforts and the spread effect of those efforts.

The indicator data would be written up as a narrative summary describing the status of the criteria in 3 pages. A fuller, more elaborate report would provide a higher level of documentation for the changes noted over time and would provide additional space for examining patterns emerging across the three zones.

Unit of Measure: narrative description

Disaggregated by: conflict zone

Justification/Management Utility: Provides multi-tiered information to determine whether there is *an increase in useful efforts to mitigate conflict in the target zones*. This indicator provides utility far beyond that of performance monitoring. The baseline data collection will provide key programming information, such as pinpointing additional African organizations that should be targeted for assistance because they can play a positive role in CPMR, the most relevant approaches to try and where to try them; what development resources are needed and where, and what networks exist and need strengthening. Performance data collection may contribute to a better understanding of the effective approaches and how they work under given conditions and of the dynamics of keeping networks engaged in problem solving.

PLAN FOR DATA ACQUISITION BY USAID

Data Collection Method: Criteria to be further specified/augmented and a protocol for baseline data collection to be developed. The protocol may need to differ to some extent for the Great Lakes zone and the two pastoralist conflict zones. The protocol will be drafted initially in-house and then finalized either virtually or in person within REDSO and with key African partners. Baseline (also performance data because the SOT has been working in the three zones) to be collected in August 2002. The Protocol should be adapted subsequent to its field test but it needs to be comparable across time so that performance data can be collected in August 2003 and August 2005. The MSI contract or some comparable mechanism should be used to handle data collection and analysis in subsequent (post 2002) years. The analysis could be done jointly with key African organization partners. For example, the Africa Peace Forum could work with REDSO/CMG on the baseline data collection and analysis for the Great Lakes conflict. This would make a contribution to building African conflict analysis skills, so could serve as an intervention in its own right. It is conceivable that by 2005, the data collection and analysis for one or more of the conflict zones could be entirely turned over to an African organization

Method of Acquisition by USAID: Via REDSO/CMG review of activities

Data Source(s): Data from ongoing programs

Timing/Frequency of Data Acquisition: 2002, 2003, 2005

Estimated Cost of Data Acquisition: low

Responsible Individual(s) at USAID: Ned Greeley

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Performance reports in 2003 and 2005 should not only discuss status of various criteria but should also compare with the previous report so that a judgment can be made about whether there are more efforts to manage conflict

Presentation of Data: narrative report – summary and three separate zone reports

Review of Data: August 2001, 2003, 2005

Reporting of Data:

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: August 2002, comparison of reports against the protocol

Known Data Limitations and Significance (if any): qualitative review so it is possible that the data collectors will miss efforts going on or will over-estimate the value of some efforts. However, great precision is not required. These data will provide rich information about what is happening on the ground and will be very important for understand spread and dissemination.

Actions Taken or Planned to Address Data Limitations: Protocol to be established, data collection and analysis to be done by social scientists, validation of findings with key partners working in the region

Date of Future Data Quality Assessments:

Procedures for Future Data Quality Assessments:

OTHER NOTES ***

(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)

Note 1: The current SO 6.2 indicator is: Greater frequency/coverage of efforts to manage conflicts in the three target zones. RCMG proposes to change this to: **Greater frequency/coverage of capacities to manage conflict in the three target zones.** The Peace Index measures the presence or absence of eleven assets related to cross border CPMR will be assessed in each country of each zone or a three composite zone index totaling 99 points (rounded to 100) see attached in index. In each zone, a point will be given for the presence or absence of each of the eleven assets positively affecting the potential for each of the three countries to affect CPMR in the cross border zones. Capacities in zones will be measured on an annual basis and associated with RCMG support. The index is presented in detail in Annex A.

Note 2: An assessment of both the Karamoja and Somali Cluster is underway and the findings may lead to modifying the scope and nature of the index.

THIS SHEET LAST UPDATED ON: 3/1/04

Performance Indicator Reference Sheet

Strategic Objective 6: More Effective Management of Conflict by African Organizations

Indicator 3: Mitigation of some factors driving conflict in the target conflict zones

DESCRIPTION

Precise Definition: Mitigation is defined as a reduction in proximate causes of or triggers to conflict. Where SO 6.2 measures capacities or assets that can be accessed by individuals, groups or organizations to achieve CPMR objectives in a synergistic way, this indicator measures how the dynamics and effects of conflict have changed in specific cross border locations. Factors driving conflict are broadly defined as: inter-personal and inter-group grievances, insecurity, impunity, weakened or conflicting traditional CPMR structures, lack of accurate and/or timely information, competition for resources, political and economic competition, poverty, corruption, and religious and ethnic differences.

Unit of Measure: dynamics of change in specific cross border area (in narrative form)

Disaggregated by: conflict zones and cross border localities

Justification/Management Utility: demonstrates higher level impact – shows whether interventions by SO team-supported programs are contributing to mitigation of factors driving conflict. Such assessments will provide information on impact in conflict management problem solving, and how the Peace Capacities (SO 6.2) are employed in particular cases in a synergistic way.

PLAN FOR DATA ACQUISITION BY USAID

Data Collection Method: An assessment of both the Karamojong and Somali Clusters is currently under way and will serve as the baseline for this indicator. Visits to two selected cross border sentinel sites per zone for data collection and observation will be made every other year beginning in 2006. A third site will be determined in retrospect at the end of the reporting year, in partnership with Contractor and partners operating in zone.

Method of Acquisition by USAID: Periodic site visits and reports by SO team Contractor and partners; it is expected that partners will be active in the two sentinel sites selected per zone.

Data Source(s): Partners and other actors on the ground.

Timing/Frequency of Data Acquisition: Every other year beginning in 2006

Estimated Cost of Data Acquisition: high

Responsible Individual(s) at USAID: Wangeci Chege

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: RCMG staff and DAI will review baseline data and the report. Subsequent analytical pieces will be prepared by DAI and reviewed by USAID in draft.

Presentation of Data: Narrative report.

Review of Data: 2004 and 2005

Reporting of Data: Annual report

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: last quarter 2004 or first quarter 2005

Known Data Limitations and Significance (if any): Qualitative analysis may be subject to misinterpretation by data collector.

Actions Taken or Planned to Address Data Limitations: Improve objectivity by expanding the number of stakeholders interviewed

Date of Future Data Quality Assessments: 2005

Procedures for Future Data Quality Assessments: At start of new strategy

OTHER NOTES***

(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)

Note on Baselines/Targets: Baseline will be done for 2003.

Data Storage: Wangeci Chege

THIS SHEET LAST UPDATED ON: 3/1/04

Methodology for Collecting Data
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6.3 Mitigation of Some Factors Driving Conflict in the Target Conflict Zones

Indicator(s) and precise definitions:

Mitigation is defined as a reduction in proximate causes of or triggers of conflict. Where SO6.2 measures capacities or assets that can be assessed by individuals, groups, or organizations to achieve CPMR objectives in a synergistic way, this indicators measures how the dynamics and effects of conflict have changed in specific, cross-border locations. Factors driving conflict are broadly defined as: inter-personal, and inter-group grievances, insecurity, impunity, weakened or conflicting CPMR structures, lack of accurate or timely information, competition for resources, political or economic competition, poverty, corruption, and religious and ethnic differences.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

a) Method specification (e.g. survey, interviews, documentation review)

SO team will select two cross-border sentinel sites per zone for data collection and observation for this particular indicator. Periodic visits to selected sites will be made by SO team and/or contracting partners to meet with at least three stakeholders to assess status of the site and whether mitigation has occurred. A survey questionnaire will be developed for data acquisition and SO team will develop reports on their findings. Baseline data will be obtained and compared with periodic reports to assess level of progress made.

b) Specific instrument to be used (e.g. survey questionnaire)

Survey questionnaire will be used to obtain data through interviews with stakeholders

c) Sampling technique for obtaining responses/data (if required)

Interviews with stakeholders

d) Other mode of selecting precise data source

N/A

e) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)

Ongoing progress will be assessed from baseline assessment

2) Written procedures

a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)

1. Survey questionnaire will be used in each of the two sentinel sites in each cluster (i.e. Karamajong, Great Lakes, Somali).
2. Stakeholders in each site will be interviewed utilizing the questionnaire to assess level of progress being made in mitigating conflict.
3. Core SO 6.3 team will compile interview survey data and produce an analysis on each sentinel site.
4. Analysis and comparison within each site regarding progress will be made.
5. SO team will then analyze sentinel sites within each cluster for comparison.
6. SO team will then analyze and compare cluster progress among all three sites.

7. SO team will make a final analysis in narrative form of overall progress in all three clusters to determine macro-level impact and progress on cross-border mitigation.

b) Define potential limitations, bias factors

Interviews and survey assessment by stakeholders should be broadly inclusive so that an objective assessment of the data can be made. At least three stakeholders in each sentinel site should be interviewed to include civil society, government, and inter-governmental if possible. As much as possible, gender equity in terms of stakeholders interviewed should also be considered.

c) Define categories of how data are to be presented

Categories will include factors such as: inter-personal and inter-group grievances, insecurity, impunity, traditional structures, access to information, resource competition, political/economic competition, poverty, corruption, religious/ethnic issues.

ANALYSIS AND PRESENTATION

1. Mode of Analysis

a) Quantitative (describe procedures, statistical or otherwise)

N/A

b) Qualitative (describe procedures – e.g. content analysis)

Narrative report based on interview of stakeholders analyzed over time.

c) Mix of qualitative and quantitative (describe how each supports the other)

N/A

d) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative

Narrative Report

e) Rationale for Analysis/Interpretation

Reports will provide valuable data on progress being made to mitigate conflict in selected sites as well as particular clusters. This will also help provide insight on progress in the cross-border regions that make up the clusters.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

1. Steps on designing and testing the instrument

a) Steps for design

Design interview survey that will be used for data collection.

b) Steps to testing instruments

Make an initial site visit to sentinel sites to collect baseline information.

2. Unique features – new and untested approach

3. The instrument itself – new and untested

Performance Indicator Reference Sheet

Strategic Objective 6: More Effective Management of Conflict by African Organizations

Intermediate Result 6.1: CAPACITY OF AFRICAN OWNED CONFLICT MANAGEMENT ORGANIZATIONS STRENGTHENED

Indicator 1: # of target regional organizations demonstrating change on the index of organizational strengthening (OCAT) developed by PACT.

This indicator is being dropped.***

DESCRIPTION

Indicator Definition: This indicator will be used for those conflict prevention NGOs supported under ISGM's program. Target groups include indigenous African organizations, both regional and national, working on conflict in the three zones or regionally. The organizations are: Africa Peace Forum (APFO), Lawyers Environmental Action Team, Participatory Ecological Land Use Management Association (PELUM), Resource Conflict Institute (RECONCILE), Community Initiative Facilitation Assistance (CIFA), Wajir South Development Agency (WASDA), Bahr-El-Ghazal Youth Development Agency (BYDA), Forest Action Network (FAN), and Rwanda Women's Network. The Food Security S.O. Team is taking responsibility for the institutional strengthening of IGAD and COMESA. Organizational capacity is measured using the Organizational Capacity Assessment Tool where an expert organizational team works with the CBO to score their organizational capacity on 283 items over six categories. The OCAT categories, each which includes several elements, are as follows: Governance & Management; Financial Management; Technical Skills; Human Resources; Infrastructure; External Relations plus a 7th category of sustainability. PACT reviewed the possibility of producing an average across the 6 categories rather than the median they currently produce and found that the scoring did not change much. Each category is scored on a scale of 0 (not applicable or insufficient information), 1 (needs urgent attention) to 6 (acceptable, needs maintaining).

Unit of Measure: average score

Disaggregated by: average scores available by organization and by category

Justification/Management Utility: The tool has been used extensively by PACT and has been found to be useful in evaluating the degree of capacity an organization has and thus their ability to affect conflict. Direct match indicator of how technical assistance and training are strengthening target institutions. The underlying hypothesis is that stronger regional NGOs addressing conflict will lead to enhanced African capacity to achieve peace and security.

Responsible Individual(s) at USAID: Charles Ward & Hellen Oluoch with Njeri Karuru

PLAN FOR DATA ACQUISITION BY USAID

Data Collection Method: Trained PACT experts apply the OCAT – they interview a range of target organization staff and Board members, review documents, observe how systems work, and then do the scoring. The findings and scores are discussed with the target organization, which has an opportunity to present evidence in support of any adjustments in scores they feel are deserved. Data Collection Methodology not attached as PACT has a detailed data collection system which the SO team verifies.

Method of Acquisition by USAID: From PACT/MWENGO reports.

Data Sources: Pact/Mwengo reports; back up scoring sheets

Timing/Frequency: Baseline done at variable points, when a target organization is considered for a grant (2000-2003). Follow up OCAT will be conducted during and after assistance in 2003 (for those with a baseline done in 2000 or 2001). PACT program ends in 2003.

Cost: Medium- it takes an OCAT consultant two weeks to produce the scores and documentation, then perhaps a day for discussions.

Person Responsible at USAID: Charles Ward, Njeri Karuru

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: PACT/MWENGO analyzes the data to ensure that their institutional strengthening program is producing the desirable improvements. It looks for patterns in the results across target groups.

Presentation of Data: The data will be presented as a chart

Review of Data: The data will be reviewed by SO team, SO 5 institutional strengthening advisor and PDI to ensure clear documentation of ratings

Reporting of Data: Data will be presented in the Annual Report, PIR, and Triannual Review

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: 5/02. Data quality is good – PACT has trained individuals who have administered and helped over time to refine the OCAT. Process includes extensive interviewing and document review by experts, who then discuss their scores and findings with target organizations. Some adjustments in scores may be made based on target institution feedback. Quality of data produced by PACT to be reviewed by USAID Institutional Strengthening specialist.

Known Data Limitations and Significance (if any): Baseline may be slightly elevated due to consultative process with target groups – groups may be fearful if scores too low that they would be denied a grant because OCAT is administered prior to grant award. It is possible that future post-assistance scores may be similarly biased in a slightly upward direction due to the concern of the target groups to show they benefited from the assistance. The similar biases tend to cancel each other out and to then reflect true progress. In addition, given the large number of items to be scored (nearly 300) transcription errors are highly possible.

Actions Taken or Planned to Address Data Limitations: A careful watch needs to be kept on the post assistance scoring and the response of groups to expert findings to ensure that inflation is limited. Data is entered twice to ensure accuracy.

Date of Future Data Quality Assessments: When post-assistance scoring is completed in November 2003.

Procedures for Future Data Quality Assessments: When post-assistance scoring is done, October 2003.

OTHER NOTES

(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)

Note on Baselines/Targets: baselines done at various points between 2000 and 2002; data point at 2003 for groups with a baseline in 2000 or 2001. As new contractor, DAI, has taken over the work under this indicator, targets will be set for 2005 in the third quarter of 2004, possibly using a different tool. A new reference sheet will be developed as soon as the tool is designed.

Data Storage: PACT/MWENGO stores.

THIS SHEET LAST UPDATED ON: 3/1/04

Methodology for Collecting Data
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6. 1: # of target regional organizations demonstrating change in the index of organizational strengthening (OCAT) developed by DAI

Indicator(s) and precise definitions:

The indicator will be used for those conflicts prevention NGO's supported under DAI's program. Target groups will include indigenous African organizations; both regional and national, working on conflict in the three zones or regionally. The organizations are yet to be identified by both DAI and RCMG team and part Food Security team in the institutional strengthening of IGAD and COMESA.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

- a) Method specification (e.g. survey, interviews, documentation review)**
SO team and DAI with using OCAT will identify a CBO to score its organizational capacity on 283 items over 6 categories. Outcome will be presented in form of a chart.
- b) Specific instrument to be used (e.g. survey questionnaire)**
Organizational Capacity Assessment tool will be used on CBO's to obtain data
- c) Sampling technique for obtaining responses/data (if required)**
N/A
- d) Other mode of selecting precise data source**
N/A
- e) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)**
No issues, data methodology is clear

2) Written procedures

- a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)**
 1. SO team and DAI shall identify a CBO in each cluster (i.e. Karamojong, Somali, Great Lakes).
 2. Produce an average across the 6 categories the median will help produce the same results
 3. An analysis and comparison within each site regarding progress will be made.
 4. Core SO 6.1 team will then analyze the data and compare cluster progress among all three sites to ensure that their institutional strengthening program is producing the desirable improvements.
 5. Core team will make a final analysis in narrative form supported by scoring sheets index as appropriate of overall progress in all three clusters to determine macro-level impact and progress on cross-border mitigation.

b) Define potential limitations, bias factors

1. It is time consuming. Baseline may be slightly elevated due to consultative process with target groups – groups may be fearful if scores are too low that they would be denied a grant because OCAT is administered prior to grant award.
2. It is possible that future post-assistance scores may be similarly biased in a slightly upward direction due to the concern of the target group to show they benefited from the assistance.
3. Given the large number of items to be scored (approx. 300) transcription errors are highly possible.

c) Define categories of how data are to be presented

The OCAT has a score of 283 items over 6 categories. The latter includes the following set of categories: governance & management, financial management, technical skills, human resources, infrastructure, external relations, and a 7th category, stability.

ANALYSIS AND PRESENTATION

1) Mode of Analysis

a) Quantitative (describe procedures, statistical or otherwise)

Statistical

b) Qualitative (describe procedures – e.g. content analysis)

Narrative reports in support of the charts help form part of the analysis.

c) Mix of qualitative and quantitative (describe how each supports the other)

N/A

d) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative

In form of a chart.

e) Rationale for Analysis/Interpretation

Reports will provide valuable data on progress being made to mitigate conflict in selected sites as well as particular clusters. This will also help provide insight on progress in the cross-border regions that make up the clusters.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

1. Steps on designing and testing the instrument

a) Steps for design

Interview a range of target organizations staff and board members, review documents, observe how systems work, and then do the scoring.

b) Steps to testing instruments

Make an initial site visit to sentinel sites to collect baseline information.

2. Unique features – Has been used before

3. The instrument itself – Has effectively been used by PACT found to be a useful tool in evaluating the degree of capacity an organization has and thus their ability to end conflict

Performance Indicator Reference Sheet
Strategic Objective 6: More Effective Management of Conflict by African Organizations
Intermediate Result: IR 6.1 CAPACITY OF AFRICAN OWNED CONFLICT MANAGEMENT ORGANIZATIONS STRENGTHENED
Indicator 2: # of target groups demonstrating progress on those elements of the OCAT selected for improvement in the institutional strengthening plan (ISP) (proxy for Indicator 1) This indicator is being dropped.***
DESCRIPTION
<p>Precise Definition: Groups include 8-10 target regional groups (see Indicator 1). ISP lays out certain elements for strengthening and a time line for progress. The relevant category(ies) of the OCAT (see indicator 1) will be applied to judge progress in between full OCATs. A target group needs to show improvement through changed scores for each element of the OCAT that it is working to strengthen. PACT has indicated that it may need to choose key institutional strengthening categories to report on because the TA and training are often spread across several categories.</p> <p>Unit of Measure: # (score per relevant OCAT category; not averaged)</p> <p>Disaggregated by: category and group, if desired</p> <p>Justification/Management Utility: Provides an interim method of monitoring progress because the OCAT is too expensive and time consuming to administer annually.</p>
PLAN FOR DATA ACQUISITION BY USAID
<p>Data Collection Method: PACT/MWENGO will do the data collection and scoring as discussed in indicator 1</p> <p>Method of Acquisition by USAID: PACT/MWENGO records</p> <p>Data Source(s): PACT/MWENGO assessment and reports</p> <p>Timing/Frequency of Data Acquisition: in OCAT off-years (2001, 2002, 3002 (for those not receiving a full OCAT), 2004), beginning with 2001</p> <p>Estimated Cost of Data Acquisition: low</p> <p>Responsible Individual(s) at USAID: Charles Ward, Njeri Karuru</p>
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
<p>Data Analysis: by PACT/MWENGO and verified by SO team, SO 5 institutional strengthening advisor and PDI team to ensure clear documentation of ratings</p> <p>Presentation of Data: The data will be presented as a chart</p> <p>Review of Data: The data will be reviewed by SO team and PDI to ensure clear documentation of ratings</p> <p>Reporting of Data: Annual Report, PIR and Triannual Review</p>
DATA QUALITY ISSUES
<p>Date of Initial Data Quality Assessment: 8/01 and 5/02. Data quality is good – PACT has trained individuals who have administered and helped over time to refine the OCAT. Process includes extensive interviewing and document review by experts, who then discuss their scores and findings with target organizations. Some adjustments in scores may be made based on target institution feedback. Quality of data produced by PACT to be done by USAID Financial Analyst and institutional strengthening advisor.</p> <p>Known Data Limitations and Significance (if any): Baseline may be slightly elevated due to consultative process with target groups – groups may be fearful if scores too low that they would be denied a grant because OCAT is administered prior to grant award. It is possible that future post-assistance scores may be similarly biased in a slightly upward direction due to the concern of the target groups to show they benefited from the assistance. The similar biases tend to cancel each other out and to then reflect true progress.</p> <p>Actions Taken or Planned to Address Data Limitations: A careful watch needs to be kept on the post assistance scoring and the response of groups to expert findings to ensure that inflation is limited.</p> <p>Date of Future Data Quality Assessments: When post-assistance scoring is done, October 2003.</p> <p>Procedures for Future Data Quality Assessments: N/A</p>
OTHER NOTES*** (e.g., on baselines and targets; key to performance data table; location of data storage; etc.)
<p>Note on Baselines/Targets: Baseline done at various points between 2001 and 2002; data point at 2003 for groups with a baseline in 2000 or 2001. As new contractor will take over work under this indicator, targets will be set for 2005 in November/December 2003.</p> <p>The focus has been on the strengthening of NGOs. This change includes using the word organizations instead of NGOs. RCMG intends to focus on systematically building institutional and technical capacity of particular units of several organizations in a sustained way. In the case of intergovernmental organizations, for example, it would be the CEWARN office of IGAD and CEWERUs; the COMESA Peace and Security Desk and potentially the Conflict Management Unit of EAC. For other organizations, including NGOs, it would be a minimum of two organizations per cluster, for example the CAPE unit of AU-IBAR for the Karamoja Cluster, and perhaps a faith-based organization working across borders such as Fellowship of Christian Councils and Churches in the Great Lakes and the Horn of Africa (FECCLAHA)</p> <p>As new contractor, DAI, has taken over the work under this indicator, targets will be set for 2005 in the third quarter of 2004, possibly using a different tool. A new reference sheet will be developed as soon as the tool is designed.</p> <p>Data Storage: PACT and RCMG</p>
THIS SHEET LAST UPDATED ON: 3/1/04

Methodology for Collecting Data
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6. 1: # of target groups demonstrating process on those elements of the OCAT selected for improvement in the institutional strengthening plan (ISP) (proxy for Indicator 1)

Indicator(s) and precise definitions:

Groups include 8-10 target regional groups (see Indicator 1). ISP lays out certain elements for strengthening and a time line for progress. The relevant category (ies) of the OCAT (see indicator 1) will be applied to judge progress in between full OCATs. A target group needs to show improvement through changed scores for each element of the OCAT that is working to strengthen. PACT has indicated that it may need to choose key institutional strengthening categories to report on because the TA and training are often spread across several categories.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

- a) **Method specification (e.g. survey, interviews, documentation review)**
SO team and DAI with using OCAT will do the data collection and scoring as discussed in indicator 1.
- b) **Specific instrument to be used (e.g. survey questionnaire)**
Organizational Capacity Assessment tool will be used on CBO's to obtain data
- c) **Sampling technique for obtaining responses/data (if required)**
Interviewing and document review by experts
- d) **Other mode of selecting precise data source**
N/A
- e) **Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)**
No issues, data methodology is clear.

2) Written procedures

- a) **describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)**
As stated in the proxy for Indicator 1.
- b) **Define potential limitations, bias factors**
Similar biases as for Indicator 1.
- c) **Define categories of how data are to be presented**
Similar to Indicator 1

ANALYSIS AND PRESENTATION

1) Mode of Analysis

- a) **Quantitative (describe procedures, statistical or otherwise)**
Statistical
- b) **Qualitative (describe procedures – e.g. content analysis)**
Narrative reports in support of the charts help form part of the analysis.

c) **Mix of qualitative and quantitative (describe how each supports the other)**

N/A

d) **Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative**

In form of a chat.

e) **Rationale for Analysis/Interpretation**

Reports will provide valuable data on progress being made to mitigate conflict in selected sites as well as particular clusters. This will also help provide insight on progress in the cross-border regions that make up the clusters.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

1. Steps on designing and testing the instrument

a) Steps for design

Design interview a range of target organizations stag and board members, review documents, observe how systems work, and then do the scoring.

b) Steps to testing instruments

Make an initial site visit to sentinel sites to collect baseline information.

2. Unique features – Has been used before

3. The instrument itself – Has effectively been used by PACT and found to be a useful tool in evaluating the degree of capacity an organization has, and thus their ability to end conflict

Performance Indicator Reference Sheet
Strategic Objective: More Effective Management of Conflict by African Organizations
Intermediate Result: IR 6.1 CAPACITY OF AFRICAN OWNED CONFLICT MANAGEMENT ORGANIZATIONS STRENGTHENED
Indicator 3: # of conflict analysis training courses conducted annually
DESCRIPTION
<p>Precise Definition: conflict analysis workshops or courses (duration not a criterion) conducted by the organizations.</p> <p>Unit of Measure: #</p> <p>Disaggregated by: target conflict zones/other</p> <p>Justification/Management Utility: Shows the availability of CPMR training courses for stakeholders in the targeted conflict zones.</p>
PLAN FOR DATA ACQUISITION BY USAID
<p>Data Collection Method: PACT/MWENGO, DAI, and other implementing partners will provide documentation of training courses conducted, including: training modules/curricula, list of trainees (with organizations), proceedings/minutes, list of certificates awarded, and completed feedback questionnaires by trainees.</p> <p>Method of Acquisition by USAID: USAID will receive reports at the end of the training courses</p> <p>Data Source(s): PACT/MWENGO, DAI, and other partners/grantees</p> <p>Timing/Frequency of Data Acquisition: Biennial</p> <p>Estimated Cost of Data Acquisition: Low</p> <p>Responsible Individual(s) at USAID: Njeri Karuru</p>
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
<p>Data Analysis: Data will be analyzed and summarized by USAID and PACT/MWENGO through first quarter 2004 followed by DAI and other implementing partners.</p> <p>Presentation of Data: The quantitative results of number of training courses conducted will be backed up by narrative describing course contents and organizations strengthened. Disaggregation will be provided by conflict target zones.</p> <p>Review of Data: As reports are received</p> <p>Reporting of Data: Annual report, Portfolio review</p>
DATA QUALITY ISSUES
<p>Date of Initial Data Quality Assessment: October 2003</p> <p>Known Data Limitations and Significance</p> <p>Actions Taken or Planned to Address Data Limitations: Reporting protocol to be developed at grant-making or planning stage to ensure consistency in documentation on file on trainings conducted.</p> <p>Date of Future Data Quality Assessments: 2005.</p> <p>Procedures for Future Data Quality Assessments:</p>
OTHER NOTES
(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)
<p>Note on Baselines/Targets: annual, baseline 2001</p> <p>Data Storage: SO 6 Team</p>
THIS SHEET LAST UPDATED ON 3/1/04

Methodology for Data Collection
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6.1.3 Number of training courses conducted

Indicator(s) and precise definitions: African-owned institutions working in conflict management which have as permanent employees trainers trained in conflict analysis and facilitation

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

- a) **Method specification (e.g. survey, interviews, documentation review)**
Document review
- b) **Specific instrument to be used (e.g. survey questionnaire)**
N/A
- c) **Sampling technique for obtaining responses/data (if required)**
All files will be reviewed
- d) **Other mode of selecting precise data source**
N/A
- e) **Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)**
No issues, data is clear

2) Written procedures

a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)

- 1. Gather all reports from grantees/partners
- 2. Review all reports and documents to verify that training took place. Contents of the file:-
 - i. Copy of training manual
 - ii. Minutes or proceedings from training
 - iii. List of certificates issued
 - iv. List of trainees and affiliated organizations
 - v. trip reports from USAID staff attending part or all of training
- 3. If at least three of the five documents listed above are on file, then the training can be counted as having been conducted..

b) Define potential limitations, bias factors

Few, if any

c) Define categories of how data are to be presented

Number of courses

ANALYSIS AND PRESENTATION

1. Mode of Analysis

- a) **Quantitative (describe procedures, statistical or otherwise)**
- b) **Qualitative (describe procedures – e.g. content analysis)**

c) Mix of qualitative and quantitative (describe how each supports the other)

List of trainings with description of content and participants

d) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative

List of training and content

e) Rationale for Analysis/Interpretation

Individuals working to mitigate conflicts have improved skills in analysis and response

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

3. Steps on designing and testing the instrument

a) Steps for design

b) Steps to testing instruments

c) Steps to testing instruments

4. Unique features

3. The instrument itself

Performance Indicator Reference Sheet

Strategic Objective 6.0: More Effective Management of Conflict by African Organizations

Intermediate Result 6.2: EXPANDED APPLICATION OF EFFECTIVE APPROACHES IN MANAGING CONFLICT

Indicator 6.2.1: a) # of target groups applying an effective approach in one of three cross border areas

DESCRIPTION

Precise Definition: The target group includes organizations benefiting directly (grant assistance) and implementing at least one of the effective approaches (media, religious leaders and problem solving) in a way that is an integral, significant part of its intervention strategy in one of the targeted geographic zones. An effective approach is defined as a peace methodology which has been studied or tested by USAID and has been shown to have a positive impact on preventing or mitigating conflict. Degree of effectiveness is measured by the impacts that the studied initiatives had on contributing to a reduction in conflict. Application is defined as the use of one of the following approaches as a part of the strategy of an organization, and can be either a single event where the approach was used, or a series of events. Each organization is counted once no matter how many approaches it is applying and no matter how many times or in how many zones it is working in. Determination on how to count an organization – i.e. which zone and which effective approach to count it under – will be decided by the SO Team based on whether funding was given for a particular activity in a particular place. As the majority of organizations implementing an effective approach will receive grants for a specific activity, classifying partners’ work will be straightforward. The three effective approaches are defined as follows: **Faith-based:** The approach is defined as using religious leaders/representatives as peace activists to bring disputing parties to the negotiation table, and/or if it implements programs based on the principles of the religious group. The use of religious actors is believed to be an effective approach because of the moral suasion that respected leaders and representatives can use to encourage parties to a conflict to put aside interests based on power, money or politics and focus instead on the principles of faith to guide decisions and actions. Social change and justice become the underlying principles. **Media:** This approach is defined as the balanced dissemination of information and messages of peace, tolerance, reconciliation and promotion of informal dialogue through media channels in order to counteract inflammatory or polarizing messages by leaders encouraging the escalation of conflict. Broadcast media can be peace radio which has news, debate, public interest or dramatic programming with explicit or underlying peace messages. Media peace programming is aimed at counteracting inflammatory messages or rumors which lead to conflict, as well as breaking the monopoly on information held by powerful individuals or groups which can manipulate populations or incite violence. This approach can also be defined as programming that may have as education as its primary objective, but with a secondary goal of promoting a peace agenda through messages of reconciliation incorporated into teaching modules. **Local problem-solving dialogue:** Problem-solving dialogue is a local approach, which brings parties in conflict together with the aim of negotiating a settlement of disputes (mitigation) or to come to an agreement on how disputes will be settled in the future (reduction). Local problem-solving dialogue usually involves the use of traditional methods of negotiation, including traditional actors or leaders, but is adapted to include groups not normally part of traditional cultural systems, like women, youth and police. The process has legitimacy because it is based on shared cultural beliefs but incorporates a broader representation of real stakeholders in recognition of changing social, economic and political environments.

Unit of Measure: Number of targeted partner organizations

Disaggregated by: By conflict zone and effective approach

Justification/Management Utility: Indicates increase in number of organizations implementing effective approaches, reflecting an increase in availability of channels as alternatives to violence in the zones.

PLAN FOR DATA ACQUISITION BY USAID

Data Collection Method: Internal records on a quarterly or biennial basis and site visits (where possible)

Method of Acquisition by USAID: Organizations receiving grants of a year or less submit reports on activities at close-out of grant or quarterly for activities longer than a year. Reporting guidelines found in Data Collection Methodology Form, attached. In addition to reports from the field, phone calls and/or site visits may be conducted to NGO or CBO field offices where possible to follow-up and confirm reports. During site visits, REDSO staff or consultants should ask to see copies of attendance lists and minutes from a sample of meetings, meet with program staff to get feedback on outcomes of meetings (problem-solving dialogues and faith-based initiatives) and meet with a small sample of individuals actually involved in the dialogue processes for confirmation of findings from organizations.

For media activities, copies of newsletters or tapes of broadcast programs should be attached to the report. REDSO staff or consultants should consider whether or not site visits will add value to what has been reported by the organizations implementing a media approach. For example, visiting a site to view how a newsletter is produced will not add much value to having a copy of the newsletter and seeing distribution plans. Likewise, visiting a radio station or hearing a radio broadcast will not provide much more information than a copy of a selection of taped programs and a broadcast schedule will provide. However, data collection on a radio education program can be monitored by collected the above information as well as visiting a small sample of classrooms using the program to determine quality of broadcast, quality of instruction, and attendance levels.

Data Source(s): Implementing partner reports, site visit reports (where possible or appropriate).

Timing/Frequency of Data Acquisition: Baseline 2001, thereafter biannual or quarterly.

Estimated Cost of Data Acquisition: Limited

Responsible Individual(s) at USAID: Sue Tatten

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Data analyzed and summarized by Sue Tatten and Wangeci Chege

Presentation of Data: The number of organizations counted is supported by a narrative which reflects achievements over targets and a table will provide disaggregated information regarding application of effective practices by type of approach and geographic zone.

Review of Data: Annual review of data during the second month following the end of the reporting period by the SO6 team and follow up discussion with primary organizations.

Reporting of Data: Annual results report (which would capture activity implementation).

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: 2003

Known Data Limitations and Significance (if any): Reporting quality is varied, depending on skills and capacity of organizations. Organizations may not apply "effective approaches" to a strict standard as they are adapting to local conditions.

Actions Taken or Planned to Address Data Limitations: Data requirements will be made clear at the grant-making stage and reporting will be more frequent.

Date of Future Data Quality Assessments: 2005

Procedures for Future Data Quality Assessments: Review of partners' reports and verify that documentation received as required.

Follow-up with partners where documentation missing or unclear.

OTHER NOTES

(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)

Note on Baselines/Targets: Baseline 2001.

Data Storage: SO 6 team

THIS SHEET LAST UPDATED ON: 10/17/03

Performance Indicator Reference Sheet

Strategic Objective 6.0: More Effective Management of Conflict by African Organizations

Intermediate Result 6.2: EXPANDED APPLICATION OF EFFECTIVE APPROACHES IN MANAGING CONFLICT

Indicator 6.2.1: b) # of target groups applying effective approaches outside of the three cross border areas

DESCRIPTION

Precise Definition: The target group includes organizations benefiting directly (grant assistance) and implementing at least one of the effective approaches (media, religious leaders and problem solving) in a way that is an integral, significant part of its intervention strategy in one of the targeted geographic zones. An effective approach is defined as a peace methodology which has been studied or tested by USAID and has been shown to have a positive impact on preventing or mitigating conflict. Degree of effectiveness is measured by the impacts that the studied initiatives had on contributing to a reduction in conflict. Application is defined as the use of one of the following approaches as a part of the strategy of an organization, and can be either a single event where the approach was used, or a series of events. Each organization is counted once no matter how many approaches it is applying and no matter how many times or in how many zones it is working in. Determination on how to count an organization – i.e. which zone and which effective approach to count it under – will be decided by the SO Team based on whether funding was given for a particular activity in a particular place. As the majority of organizations implementing an effective approach will receive grants for a specific activity, classifying partners’ work will be straightforward. The three effective approaches are defined as follows: **Faith-based:** The approach is defined as using religious leaders/representatives as peace activists to bring disputing parties to the negotiation table, and/or if it implements programs based on the principles of the religious group. The use of religious actors is believed to be an effective approach because of the moral suasion that respected leaders and representatives can use to encourage parties to a conflict to put aside interests based on power, money or politics and focus instead on the principles of faith to guide decisions and actions. Social change and justice become the underlying principles. **Media:** This approach is defined as the balanced dissemination of information and messages of peace, tolerance, reconciliation and promotion of informal dialogue through media channels in order to counteract inflammatory or polarizing messages by leaders encouraging the escalation of conflict. Broadcast media can be peace radio which has news, debate, public interest or dramatic programming with explicit or underlying peace messages. Media peace programming is aimed at counteracting inflammatory messages or rumors which lead to conflict, as well as breaking the monopoly on information held by powerful individuals or groups which can manipulate populations or incite violence. This approach can also be defined as programming that may have as education as its primary objective, but with a secondary goal of promoting a peace agenda through messages of reconciliation incorporated into teaching modules. **Local problem-solving dialogue:** Problem-solving dialogue is a local approach, which brings parties in conflict together with the aim of negotiating a settlement of disputes (mitigation) or to come to an agreement on how disputes will be settled in the future (reduction). Local problem-solving dialogue usually involves the use of traditional methods of negotiation, including traditional actors or leaders, but is adapted to include groups not normally part of traditional cultural systems, like women, youth and police. The process has legitimacy because it is based on shared cultural beliefs but incorporates a broader representation of real stakeholders in recognition of changing social, economic and political environments.

Unit of Measure: Number of targeted partner organizations

Disaggregated by: By type of approach

Justification/Management Utility: Indicates an increase in number of organizations implementing effective approaches, reflecting an increase in availability of channels of communication/negotiation as alternatives to violence.

PLAN FOR DATA ACQUISITION BY USAID

Data Collection Method: Internal records on a quarterly or biennial basis and site visits (where possible)

Method of Acquisition by USAID: Organizations receiving grants of a year or less submit reports on activities at close-out of grant or quarterly for activities longer than a year. Reporting guidelines found in Data Collection Methodology form, attached. In addition to reports from the field, phone calls and/or site visits may be conducted to NGO or CBO field offices where possible to follow-up and confirm reports. During site visits, REDSO staff or consultants should ask to see copies of attendance lists and minutes from a sample of meetings, meet with program staff to get feedback on outcomes of meetings (problem-solving dialogues and faith-based initiatives) and meet with a small sample of individuals actually involved in the dialogue processes for confirmation of findings from organizations.

For media activities, copies of newsletters or tapes of broadcast programs should be attached to the report. REDSO staff or consultants should consider whether or not site visits will add value to what has been reported by the organizations implementing a media approach. For example, visiting a site to view how a newsletter is produced will not add much value to having a copy of the newsletter and seeing distribution plans. Likewise, visiting a radio station or hearing a radio broadcast will not provide much more information than a copy of a selection of taped programs and a broadcast schedule will provide. However, data collection on a radio education program can be monitored by collected the above information as well as visiting a small sample of classrooms using the program to determine quality of broadcast, quality of instruction, and attendance levels.

Data Source(s): Implementing partner reports, site visit reports (where possible or appropriate) Timing/Frequency of Data Acquisition: Baseline 2001, thereafter biennial or quarterly. Estimated Cost of Data Acquisition: Limited Responsible Individual(s) at USAID: Wangeci Chege
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis: Data analyzed and summarized by Wangeci Chege Presentation of Data: The number of organizations is supported by a narrative which reflects achievements over targets and a table will provide disaggregated information regarding application of effective practices by target approach. Review of Data: Annual review of data during the second month following the end of the reporting period by the SO team and follow-up discussion with primary partners. Reporting of Data: Annual results report (which would capture activity implementation).
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: 2003 Known Data Limitations and Significance (if any): Reporting quality is varied, depending on skills and capacity of organizations. Organizations may not apply "effective approaches" to a strict standard as they are adapting to local conditions. Actions Taken or Planned to Address Data Limitations: Data requirements will be made clear at the grant-making stage and reporting will be more frequent. Date of Future Data Quality Assessments: 2005 Procedures for Future Data Quality Assessments: Review of partners' reports and verify that documentation received as required. Follow-up with partners where documentation missing or unclear.
OTHER NOTES*** (e.g., on baselines and targets; key to performance data table; location of data storage; etc.)
Note on Baselines/Targets: Baseline 2001. Data Storage: SO Team
THIS SHEET LAST UPDATED ON: 10/17/03

*****Proposed modification**

Anticorruption is a new initiative that is has been introduce in IR 2 Expanded Application of Effective Approaches. The IR will include IR 2e and will contain the following.

Three tested approaches linking anti-corruption and conflict management activities such as : a) accuracy and coverage of journalists materials strengthened, b) initiatives of a partnerships of EALA parliamentary committees, national parliamentary committees and civil society organizations yield changes in anti-corruption laws, and c) increased knowledge of type and time of movement of goods in both directions along corridor through improved ICT leads to cases publicized of illegal movement of goods supporting war economies (e.g. timber)

Methodology for Data Collection
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6.2 Expanded application of effective approaches

Indicators:

IR 6.2.1a : Number of target groups applying an effective approach in one of the three cross-border zones

IR 6.2.1b: Number of target groups applying an effective approach outside the zones

Note: See Performance Indicator Reference Sheets for precise definitions.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

- a) Method specification (e.g. survey, interviews, documentation review)
Documentation review
- b) Specific instrument to be used (e.g. survey questionnaire)
- c) Sampling technique for obtaining responses/data (if required)
None
- d) Other mode of selecting precise data source
None
- e) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)
Data analysis is somewhat objective, so data quality problems are possible. Measure of application and classification of effective approach must be clear.

2) Written procedures

- a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)
 1. Gather funding application, all reports and other documentation for activities counted and reported under 2002 Annual Report.
 2. Apply “effective approaches” test: review the documents on file to determine which “effective approach” was used to mitigate conflict. See attached sheet for definitions of each approach. Note that as organizations are counted once under IR 6.2.1a and b, all activities do not need to be reviewed. Select a random sample of activities and review all documents for the activity(ies) selected. One point is given for each “Yes” answer.

Faith-based:

- Does the organization identify itself as religious or church-based? If no, does the activity engage religious leaders as a key element of its strategy or the activity for which they are receiving funds? Yes/No
- Are members of the religious group pressuring government, leaders and other players to come to the negotiation table or encourage parties in conflict to come to the negotiation table? Yes/No
- Are members of the religious group involved themselves in leading or facilitating negotiations? Yes/No
- Does the program promote tolerance and unity? Yes/No
- Does the group promote principles of justice and human rights? Yes/No
- Is the aim of the program to reduce violence or armed conflict? Yes/No

Local Problem-Solving Dialogue:

- Is the approach implemented in the area and among the communities where the conflict is based? Yes/No
- Does the approach bring parties in conflict in face-to-face dialogue? Yes/No
- Is the activity aimed at either negotiating a settlement of a dispute (mitigation) or strive to come to an agreement on how disputes will be handled in the future (reduction)? Yes/No
- Are some traditional methods of negotiation used in the negotiation process? Yes/No
- Are traditional, respected leaders involved, such as elders? Yes/No
- Are other groups included who may normally be excluded from traditional systems, such as women and youth? Yes/No

Media:

- Is a media platform used, such as radio, television, print, etc that is distributed or broadcast to the general population of the area? Yes/No
- Do the messages contained in the medium promote peace through: dialogue, debate, balanced views, underlying peace messages, counteracting rumors, etc.? Yes/No
- Can the activity be classified as “peace education”, using radio instruction programs to convey messages of peace within school curricula? Yes/No
- Especially for broadcast media, does the organization have clear policies which include the principles of openness, comprehensiveness and objectivity in reporting? Yes/No
- Are teams or staff members recruited across ethnic or religious lines? Yes/No

3. If the majority of responses are YES under one of the approaches, then the activity can be classified an effective approach. If only one or two questions can be answered positively, then the activity cannot be classified as an effective approach.

Faith-based initiatives and local problem-solving dialogue = 3 – 6 “Yes” responses

Media initiative = 3 – 5 “Yes” responses

4. For IR 6.2.1a and b, organizations can only be counted once. If more than one effective approach seems to apply to the organization’s work, note the primary and secondary activities. The organization can be counted more than once under the disaggregation of IR 6.2.1 c,d, & e.

5. Does the activity meet the “application” criteria through the provision of the following. Rating of each is as follows: 2 points = documentation provided and it is legible, clear, complete; 1 point = documentation provided but incomplete, illegible, or incomprehensible; 0 = documentation not provided.

FOR PROBLEM-SOLVING DIALOGUE AND FAITH-BASED INITIATIVES

- Documentation of analysis demonstrating understanding of the conflict in question. ____ points
- Description of the methodology used to address conflict (will help to define whether “effective approach” was applied as above) ____ points
- List of attendees at meetings (especially for faith-based and problem-solving) including organizational affiliations ____ points
- Meeting agenda(s) ____ points
- Date(s) and venue(s) of meetings ____ points
- List of “next steps” or action points ____ points
- Copies of agreements or declarations signed between parties/stakeholders ____ points

Ranking: (from a total of 21 points)

14 – 21 points: Good

8 – 13 points: Satisfactory

0 – 7 points: Unsatisfactory

FOR MEDIA INITIATIVES:

- Documentation of analysis or understanding of the conflict. ____ point(s)
- Program schedule or schedule of issues of newsletters/newspapers. ____ point(s)
- Are staff and journalists representative of all groups involved in conflict? ____ point(s)
- Do Articles of Incorporation or Mission Statement of the organization clearly state conflict prevention/peace goals and principles? ____ point(s)
- Is there evidence of broadcast (for radio programming) or distribution (for newsletter/newspapers), such as program schedules, tapes of programs, copies of newsletters/newspapers? ____ point(s)
- For radio programs, has a listenership survey been conducted? Does it match the objectives of the programs and the claims of broadcast reach? ____ point(s)

Ranking (from a total of 18 points)

12 - 18 points: Good

7 – 11 points: Satisfactory

0-6 points: Unsatisfactory

6. From the above, a determination will be made on the quality of documented evidence. The following are the levels of reporting:

Good: All of the documentation listed above under the effective approach was provided. Documentation is complete, clear, concise, thorough and understandable.

Satisfactory: Most of the documents listed above were provided. What is provided is clear, concise, thorough and understandable.

Weak: Only one or two of documents required are provided. If more than one or two documents are provided, the documents are incomplete, illegible, or incomprehensible.

Unacceptable: No documentation is provided.

Only organizations falling under the categories of “good” and satisfactory” will be counted.

7. Zone: Which zone is the organization working in primarily? If outside one of the three zones (as described in SO 6 PMP) is the organization working mainly within one country in the GHAI or is it a regional organization?

f) Define potential limitations, bias factors

While as much detail as possible has been provided above to help make a determination on quality of data, interpretation and judgment on the details is still subjective.

g) Define categories of how data are to be presented

In numbers

ANALYSIS AND PRESENTATION

h) Mode of Analysis

f) Quantitative (describe procedures, statistical or otherwise)

g) Qualitative (describe procedures – e.g. content analysis)

h) Mix of qualitative and quantitative (describe how each supports the other)

The determination of whether or not an organization should be counted as “applying an effective approach” is qualitative, but the results are quantitative (“number of organizations”)

i) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative

Narrative list of organizations

j) Rationale for Analysis/Interpretation

The assumption is that the greater number of organizations applying approaches which have been studied and judged to work on mitigating some factors leading to conflict, the more likely violence will be reduced. Given the vastness of the region, a focus of efforts in more closely targeted conflict areas will over the long-term have a greater impact on conflict mitigation

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

5. Steps on designing and testing the instrument

a) Steps for design

Reviewed the MSI best practices Peace Building Program and pulled out the common elements applicable to effective approaches. This was followed by the design of the questionnaire

b) Steps to testing instruments

Reviewed grantee files and revised the questions accordingly to ensure consistency and relevance of the questions

c) Steps to testing instruments

6. Unique features

N/A

3. The instrument itself

Performance Indicator Reference Sheet

Strategic Objective 6: More Effective Management of Conflict by African Organizations

Indicator 6.2.2 Number of research or analyses on conflict issues

DESCRIPTION

Precise Definition: REDSO will support or carry out research or analysis to increase the body of analytical knowledge regarding conflict in the region, to expand the literature on “effective approaches” to conflict through lessons learned, and support bilateral missions with conflict analyses to help incorporate conflict-prevention approaches in their strategies.

Unit of Measure: # (cumulative)

Disaggregated by: N/A

Justification/Management Utility: to demonstrate the contributions REDSO is making toward building information which can influence good policy and programmatic decision-making. Support to regional, broader public (i.e. external) and USAID (i.e. internal) knowledge on conflict issues and strategies contributes to capacity of local and regional actors to promote peace.

Data Collection Method: USAID will collect data from funded activities. Criteria for selecting activities to fund include: analysis must add to the body of knowledge regarding conflict in the region; study an “effective approach” for lessons learned which will help practitioners to carry out activities with a higher likelihood of promoting peace; provide a new perspective or address an arising issue relating to conflict in the region. External documents must have a coherent and realistic plan of action to disseminate the report to practitioners, policy makers, and other stakeholders, such as donors.

Method of Acquisition by USAID: USAID will receive copies of the reports and publications

Data Source(s): Grantees and SO team

Timing/Frequency of Data Acquisition: Annual, beginning in 2003. Baseline already established.

Estimated Cost of Data Acquisition: low

Responsible Individual(s) at USAID: Wangeci Chege

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Data analysis will be carried out as needed.

Presentation of Data: List of organizations supported by narrative description of studies/reports.

Review of Data: The data will be reviewed annually by SO team

Reporting of Data: annual

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: October 2003 for 2002 data (as this is a new indicator)

Known Data Limitations and Significance (if any): Reports have met the standard, as organizations funded must fully justify how research will contribute to body of knowledge.

Actions Taken or Planned to Address Data Limitations: In grant-making stage, ensure applicants provide dissemination plans.

Date of Future Data Quality Assessments: 2005

Procedures for Future Data Quality Assessments: See methodology, attached.

OTHER NOTES

(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)

Note on Baselines/Targets: Baseline in 2001 is 2. To a degree, achieving targets will depend on the number of applications from organizations for funding research and analysis activities

Data Storage: SO team

THIS SHEET LAST UPDATED ON: 3/1/04

Methodology for Data Collection
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6.2 Expanded Application of Effective Approaches

Indicator(s) and precise definitions:

IR 6.2.2 Number of research or analyses on conflict issues

Precise Definition: REDSO will support or carry out research or analysis to increase the body of analytical knowledge regarding conflict in the region, to expand the literature on “effective approaches” to conflict through lessons learned, and to support bilateral missions with conflict analysis to help incorporate conflict-prevention approaches in Integrated Strategic Plans.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

f) Method specification (e.g. survey, interviews, documentation review)

Documentation review

g) Specific instrument to be used (e.g. survey questionnaire)

Checklist

h) Sampling technique for obtaining responses/data (if required)

All grant recipients which applied for funding for research projects will be reviewed. Internal reports such as CVAs will be counted under this indicator but will not be assessed as quality of reporting will be monitored consistently through the life of the study.

i) Other mode of selecting precise data source

j) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)

Evaluation as to whether or not a study or report can be counted is highly subjective. The criteria is outlined in as detailed a manner as possible, but SO team must make a value judgment as to whether or not the material is valid and useful. For internal reports this will be straightforward. For external reports some quality issues can be overcome by ensuring the proposed study or research meets criteria before funding is given.

2) Written procedures

a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)

For externally-produced reports funded by USAID, at the application review stage, the technical criteria for funding an activity will consist of the following:

- i. Does the proposed research add to the body of knowledge on conflict in the region?
- ii. Does the proposed research have clear methodology?
- iii. Are the individuals carrying out the research experienced and qualified?
- iv. Is there a clear dissemination plan to a relevant audience?
- v. Does the organization have expertise in the area of the proposed research?

At the reporting stage, grantees will provide the following:

- i. Copies of the final research document
- ii. Outline of dissemination plan

For internally produced documents, SO team members responsible for research will ensure that the final document meets the criteria through Scopes of Work, input into consultant recruitment, review of draft documents and approval of final version.

k) Define potential limitations, bias factors

Very limited

l) Define categories of how data are to be presented

Given the manageable number of reports to be counted, a brief description will be given of each.

ANALYSIS AND PRESENTATION

m) Mode of Analysis

i) Quantitative (describe procedures, statistical or otherwise)

j) Qualitative (describe procedures – e.g. content analysis)

k) Mix of qualitative and quantitative (describe how each supports the other)

Number of reports produced with description of each

n) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative

List

o) Rationale for Analysis/Interpretation

In order to add to the critical mass of conflict prevention actors and advocates, support to analysis and research is believed to be necessary. Knowledge about the causes of conflict and means of addressing them is complex. Conflict actors need a wide variety of skills and resources in order to become more effective actors. One of these skills is the ability to research and/or understand the underlying causes of conflict. From there, actors then need the ability to understand which tools can be used to prevent or mitigate those conflicts. By providing funds and technical assistance to regional and local actors addressing conflict and USAID missions, REDSO CMG is supporting the strengthening of literature and knowledge that feed into actors on the ground.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

7. Steps on designing and testing the instrument

a) Steps for design

N/A

b) Steps to testing instruments

c) Steps to testing instruments

8. Unique features

3. The instrument itself

Performance Indicator Reference Sheet
Strategic Objective: More Effective Management of Conflict by African Organizations
Intermediate Result: IR 6.3 Increased Networking among Stakeholders in CPMR
Indicator 1: Adoption of formal instruments for CSOs to affiliate with intergovernmental bodies addressing conflict
DESCRIPTION
<p>Precise Definition: Formal instruments are defined as 1) instruments developed to officially affiliated CSOs in intergovernmental bodies, b) meetings held between intergovernmental organizations and CSOs to discuss the instruments, and c) the period taken between instrument development and full adoption and operationalization.</p> <p>Unit of Measure: protocols, rules of procedure</p> <p>Disaggregated by: COMESA, IGAD and maybe EAC at a later time</p> <p>Justification/Management Utility: Early and critical benchmark for establishing joint intergovernmental-CSO networks. The underlying assumption is that effective conflict resolution mechanisms must have input and represent the interests of local communities affected by conflict. The more intergovernmental bodies and civil society interact, the more these bodies will adapt their policies and actions with the interests of local communities in mind, as CSOs are best place to represent the concerns and challenges of stakeholders.</p>
PLAN FOR DATA ACQUISITION BY USAID
<p>Data Collection Method: review of protocols and procedures when they are accepted</p> <p>Method of Acquisition by USAID: Through contacts at IGAD, COMESA and EAC</p> <p>Data Source(s): IGAD, COMESA, and maybe EAC. These are formal documents.</p> <p>Timing/Frequency of Data Acquisition: Baseline zero in 2000. COMESA approved “modalities” for CSO participation in April 2001. IGAD expected to approve protocol in November 2001. Will maintain this indicator and continue to report until achieved and then indicator will be dropped.</p> <p>Estimated Cost of Data Acquisition: very low</p> <p>Responsible Individual(s) at USAID: Njeri Karuru</p>
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
<p>Data Analysis: USAID - Document review to determine whether formal instrument was adopted, and whether is was a genuine collaboration between the intergovernmental body and CSOs.</p> <p>Presentation of Data: Narrative describing instruments and steps taken to achieve the adoption.</p> <p>Review of Data: annually</p> <p>Reporting of Data: Annual Report, Triennial Review, PIR</p>
DATA QUALITY ISSUES
<p>Date of Initial Data Quality Assessment: October 2003</p> <p>Known Data Limitations and Significance (if any): Insert limitations, etc from the DQA</p> <p>Actions Taken or Planned to Address Data Limitations: From DQA</p> <p>Date of Future Data Quality Assessments: October 2004</p> <p>Procedures for Future Data Quality Assessments:</p>
OTHER NOTES
(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)
<p>Note on Baselines/Targets: Baseline is zero in 2000 – CSOs did not now participate in these intergovernmental networks. Target for both COMESA and IGAD is approval in 2001.</p> <p>Data Storage: CEWARN and SO Team</p>
THIS SHEET LAST UPDATED ON: 10/23/03

Methodology for Data Collection
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6.3: Increased networking among stakeholders in CPMR

IR 6.3.1 Adoption of formal instruments for CSOs to affiliate with intergovernmental bodies addressing conflict

Precise Definition: Formal instruments are defined as 1) instruments developed to officially affiliated CSOs in intergovernmental bodies, b) meetings held between intergovernmental organizations and CSOs to discuss the instruments, and c) the period taken between instrument development and full adoption and operationalization.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

k) Method specification (e.g. survey, interviews, documentation review)

Document review

l) Specific instrument to be used (e.g. survey questionnaire)

Checklist

m) Sampling technique for obtaining responses/data (if required)

n) Other mode of selecting precise data source

o) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)

The data will be precise because of the monitoring by SO 6 team on progress made in this area.

2) Written procedures

a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)

1. Review file including trip reports

2. Answer the following questions:

- Has an instrument been developed to officially affiliate CSOs in intergovernmental bodies?
- Have meetings been held between intergovernmental bodies and CSOs to discuss the instrument?
- Has a document been signed between the intergovernmental body and CSO representatives agreeing on modalities of affiliation? (adoption)
- Have modalities been used that demonstrate the instrument has been operationalized?

3. If all the questions above have been answered in the positive, then the protocol will be considered as adopted and will be counted.

p) Define potential limitations, bias factors

None

q) Define categories of how data are to be presented

Described by intergovernmental organization

ANALYSIS AND PRESENTATION

1) Mode of Analysis

l) Quantitative (describe procedures, statistical or otherwise)

m) Qualitative (describe procedures – e.g. content analysis)

Description of adoption process, main points of modalities, and activities to date.

n) Mix of qualitative and quantitative (describe how each supports the other)

2) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative

Narrative

3) Rationale for Analysis/Interpretation

The assumption is that formal instruments between CBOS and Intergovernmental organizations mean that civil society is having greater input into conflict early warning and prevention systems, meaning those systems will be more effective.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

1. Steps on designing and testing the instrument

a) Steps for design

b) Steps to testing instruments

c) Steps to testing instruments

2. Unique features

3. The instrument itself

Performance Indicator Reference Sheet
Strategic Objective: More Effective Management of Conflict by African Organizations
Intermediate Result: IR 6.3 Increased Networking among Stakeholders in CPMR
Indicator 2: Number of network members with a CPMR website updated in the last 12 months
DESCRIPTION
<p>Precise Definition: Network members are RCMG partners working on conflict in the zones or regionally. The websites contain or will contain information of interest to the public, or renewed when major or relevant changes occur to the organizations' work or new information is received such as reports or new activities. The universe of network members are: IGAD, COMESA, EAC, NCKK, UJCC, FECCLAHA, APFO, NPI, AU-IBAR, and CEWARN. The goal is to have all partners regularly updating their websites by the end of the strategy period.</p> <p>Unit of Measure: Number</p> <p>Disaggregated by: for management by network, geographic zone of conflict.</p> <p>Justification/Management Utility: demonstrates increased availability of information upon which networks can draw; ability to place their own ideas in the public sphere; build support for their activities, and increase their capacity to access and share conflict-related information.</p>
PLAN FOR DATA ACQUISITION BY USAID
<p>Data Collection Method: Email, in person or telephone survey; follow-up check on some websites to confirm existence and triennial assessments through Computer Frontiers, a regional organization.</p> <p>Method of Acquisition by USAID: Survey from partners</p> <p>Data Source(s): survey and assessments</p> <p>Timing/Frequency of Data Acquisition: baseline in 2001, USAID survey is annual, assessments every 3 years</p> <p>Estimated Cost of Data Acquisition: medium, mainly USAID staff time and assessment contracts</p> <p>Responsible Individual(s) at USAID: Josphat Wachira</p>
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
<p>Data Analysis: Data will be analyzed by REDSO annually. Organizations will be counted if their website has been updated within the last 12 months.</p> <p>Presentation of Data: List of network members which have updated their websites, with narrative describing changes.</p> <p>Review of Data: Continuous review of data as needed.</p> <p>Reporting of Data: The data will be reviewed in Annual Reports, Portfolio Reviews and Triannual Reviews</p>
DATA QUALITY ISSUES
<p>Date of Initial Data Quality Assessment: June 2003</p> <p>Known Data Limitations and Significance (if any): Measurement of updated websites is straightforward, so data limitations are few. Accessing information from partners can be difficult as they often do not have a dedicated ICT person on staff.</p> <p>Actions Taken or Planned to Address Data Limitations: None needed.</p> <p>Date of Future Data Quality Assessments: Dec 2004 by REDSO. June 2006 by contractor.</p> <p>Procedures for Future Data Quality Assessments: REDSO and Contractor will follow same methodology applied in December 2002 and June 2003 respectively.</p>
OTHER NOTES
<p>(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)</p> <p>Note on Baselines/Targets: Baseline 2001. As the universe of organizations is 10, the goal is to have all 10 with annually updated websites by 2005. Targets are cumulative.</p> <p>Data Storage: SO 6 team</p>
THIS SHEET LAST UPDATED ON: 10/17/03

Methodology for Data Collection
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

IR 6.3 Increased Networking among Stakeholders in CPMR

Indicator:

IR 6.3.2: Number of network members with CPMR website updated in the last 12 months

Precise definition: Network members are RCMG partners working on conflict in the zones or regionally. The websites contain or will contain information of interest to the public, or renewed when major or relevant changes occur to the organizations' work or new information is received such as reports or new activities. The universe of network members are: IGAD, COMESA, EAC, NCCK, UJCC, FECCLAHA, APFO, NPI, AU-IBAR, and CEWARN. The goal is to have all partners regularly update their websites by the end of the strategy period.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used:

a) Method specification (e.g. survey, interviews, documentation review)

Survey of network members

b) Specific instrument to be used (e.g. survey questionnaire)

Questionnaire and site visits by REDSO and Contractors i.e. regular assessment, visit sites and websites, use questionnaires to obtain information giving an overview of the activity for the Websites during a specified time frame.

c) Sampling technique for obtaining responses/data (if required)

By category e.g. intergovernmental organizations, civil society, faith-based organizations etc

d) Other mode of selecting precise data source

Any other source

e) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)

Yes

2) Written procedures

a) describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)

- (i) Select all organizations receiving ICT support
- (ii) Interview organizations (face-to-face or telephone) depending on the convenience of both the network member and REDSO. The questionnaire will include the following questions:
 - Who maintains your website?
 - What are some of the problems that you have had with your website in the last 12 months?
 - Have you done any updates of your website in the last 12 months?
 - What are some of the features that you have added to your website in the last 12 months?
 - Are other partners enquiring about your CPMR website?
 - Are they frequently accessing your site?

- What is the general comment about your website by communities outside your organization?
- How are you currently accessing the Internet (through dial-up, leased line or wireless connection)? What would you say about your present connection?
- Any future plans that may affect your current website and Internet connection?

(iii) Assessment by the contractor in collaboration with REDSO ISD and CMG representatives based on positive responses to the above questions
The statement of work (with amendments as necessary) used for soliciting assessments proposals for June 2003 will have clear criteria for j

b) Define potential limitations, bias factors

No limitations. Reported updates to websites by partner can be easily verified by checking the sites directly.

c) Define categories of how data are to be presented

In numbers

ANALYSIS AND PRESENTATION

1) Mode of Analysis

o) Quantitative statistically

p) Mix of qualitative and quantitative (describe how each supports the other)

A count of members updating their websites out of universe of ten, with narrative illustrating developments over the reporting period

Mode of Presentation/Interpretation, e.g. table,

2) Rationale for Analysis/Interpretation

If a partner is updating their website regularly, it is assumed that they are making available increased amounts of information on conflict upon which networks can draw; it shows the organization's ability to place their own ideas and activities in the public sphere (possibly influencing public opinion about conflict); they may be able to build support for their activities; and it demonstrates increased capacity to access and share conflict-related information.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

1) Steps on designing and testing the instrument

a) Steps for design

b) Steps to testing instruments

c) Steps to testing instruments

2) Unique features

3) The instrument itself

ANNEX A

Amendments to Indicators

ANNEX A

Amendments to Indicators

This section deals with the proposed amendments for SO 6 including justification for proposed changes at indicator level, extension of the strategy and justification for further funding.

Extend the life of SO 6 from 2005 to 2007

During 2005-2007, it is envisioned that the RCMG team would broaden its SO 6 focus to include two additional cluster areas in its Horn region conflict programming. This would include the pastoralist area of North Central Kenya and Southern Ethiopia as well as the North Uganda, South Sudan area west of the present Karamojong cluster. The rationale for this broadened focus is to incorporate the 'conflict seepage' that occurs across the cluster borders and that affect communities in areas that have not been targeted in the earlier strategy approach. These areas could then benefit from specific targeted programming of the adjoining geographical clusters that have received USAID conflict-related assistance. Such targeted programming is also meant to promote sustainability of the peace efforts that USAID assistance has provided in its previous focus on the Karamojong and Somali Clusters and to avoid the possibility of conflict moving to areas of greater vulnerability where programming efforts have not been made. A comprehensive approach to the region in general and the building of capacities within, between, and among clusters is meant to strengthen capacities of the region's stakeholders to collaborate and produce cluster regional responses to destabilizing, violent conflict affecting their communities.

Great Lakes

During the 2 year period from 05-07 in the Great Lakes, as in the case in the Horn, cross-border issues will receive concentrated and sustained effort and CPMR resources. Root causes of cross-border and inter-state conflict will be addressed, and the concept of and political will for a regional conflict management system will be established. Thus the extension of SO 6 for two years will provide sufficient time to sustain improvements in conflict management capacity among partners according to the index of peace capacities and cross border assessments of impact. Specific impact will include improvements in the causes and consequences of land use and ownership, cross border citizenship issues, regularization of war economies and facilitation of peace and political transition processes, including demobilization.

Rationale for additional funding and extension 2005-2007

It is anticipated that CEWERUS will have been established in all the member countries of the cluster except for Somalia. The other countries include Kenya, Uganda, Sudan and Ethiopia. Launching of the CEWERUS has already taken place last year and consolidation will take place this 2004 and 2005. They will facilitate the information collection for early warning and response process. It is anticipated that by end of 2005 CEWERUS will have developed adequately the early warning and response mechanism. During the 05-07 period therefore it is anticipated that root causes of cross-border conflict and interstate conflict will be addressed and the concept of and political will for a regional conflict management system will be established. Thus the extension will provide sufficient time to sustain improvements in the conflict management capacities among partners.

Subsequent to the approval of the draft strategy in 2001, and in response to comments and suggestions coming out of the MSI technical report as well as team discussions, the following indicators will be maintained, amended or dropped. The rationale/justification for each change is included below.

SO 6.1b: Qualitative reports produced by IGAD pointing to a serious risk of conflict

Status: **Drop**

Rationale: SO team feels that this indicator is not within its purview, and will not add significant value to SO indicator 1a. SO team to discuss dropping this indicator at the Triannual Review for a final decision.

IR 6.1 Capacity of African Owned Conflict Management Organizations Strengthened

Indicator 6.1.1: Number of target regional organizations demonstrating change on the OCAT

Status: **Keep but modify**. The proposed modification includes the dropping of the term ‘NGO’ and replacing it with ‘strengthening of organizations. This includes linking the CEWARN office to the CEWERU’s and strengthening the COMESA Secretariat Peace and Security Desk, among others (see details on the reference sheet).

Indicator 6.1.1a: Number of target regional organizations demonstrating change (on a to-be-determined institutional strengthening index)

Rationale: Due to the expiration of PACT agreement and the phase-in of the new MAC IQC, the measurement tool will be decided upon when the new mechanism comes into place. However, a baseline will be established for each organization as a starting point and an evaluation will be conducted at the end of strengthening period. There will be a mid-term evaluation to show progress and a continuous monitoring process will be put in place to track progress.

Performance Indicator Reference Sheet

Strategic Objective 6: More Effective Management of Conflict by African Organizations

Indicator 2: Greater frequency/coverage of capacities to manage conflicts in the three target conflict zones

DESCRIPTION

Unit of Measure: points in index measuring distribution of assets of social capital in zones

Disaggregated by: conflict zone, by 11 assets in zone by each country in zone

Justification/Management Utility: Provides rich information to determine whether there is *an increase in assets (useful capacities) established for use in managing conflict in the target zones*. This indicator provides utility far beyond that of performance monitoring. The baseline data collection will establish the range of available assets potentially useful for addressing cross-border conflict issues in the zones. By so doing, it will provide key information to help in targeting programming in a synergistic way to deepen the mix of capacities useful for addressing CPMR in a zone, such as by pinpointing the need for additional African organizations, CPMR training for members of some of these organizations, or by developing stronger partnerships with other donors to support to extend the reach of conflict early warning and response systems in the zone. Similarly, it will help in determining the most relevant approaches to promote; what development resources are needed and where, and what networks exist and need strengthening. Performance data collection may contribute to a better understanding of the effective approaches and how they work under given conditions and of the dynamics of keeping networks engaged in problem solving.

PLAN FOR DATA ACQUISITION BY USAID

Data Collection Method: Eleven criteria – each an asset for building CPMR capacity - have been specified and the procedures for baseline data collection have been developed; both are described in detail in the attached data collection methodology form. Consultations with partners will be used to collect data for the 2005 reporting period. The PEACE contract will be used to handle data collection and analysis jointly with key African organization partners. For example, the Africa Peace Forum could work with the contractor implementing first Task Order of the Managing African Conflict IQC (MAC) on the baseline data collection and analysis for the Great Lakes conflict. The index will be refined subsequent to experience in year one, baseline report will be produced, data collection frequency set and targets set.

Method of Acquisition by USAID: By SO team with the Task Order contractor (“TO contractor”) and partners

Data Source(s): CVAs, partners input, and TO contractor

Timing/Frequency of Data Acquisition: 2001, 2003, 2005

Estimated Cost of Data Acquisition: low to medium

Responsible Individual(s) at USAID: Ned Greeley and Wangechi Chege

PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

Data Analysis: Performance reports in 2003 and 2005 will discuss status of various criteria and compare depth of social capital with the previous report so that a judgment can be made about whether there is additional capacity in the zone.

Presentation of Data: Index table with narrative discussing each of 11 assets in each of three zones - summary and three separate zone reports

Review of Data: late 2001, 2003, 2005

Reporting of Data: Annual Report

DATA QUALITY ISSUES

Date of Initial Data Quality Assessment: November 2003

Known Data Limitations and Significance (if any): Since this is a qualitative review assigning numerical measurements, a narrative will accompany the index to facilitate understanding. The data will provide rich information about what is happening on the ground and will be useful in shaping future programming emphases in the zones.

Actions Taken or Planned to Address Data Limitations: from DQA findings

Date of Future Data Quality Assessments: October 2005

Procedures for Future Data Quality Assessments: To be conducted following approval of new strategy.

OTHER NOTES

(e.g., on baselines and targets; key to performance data table; location of data storage; etc.)

Note on Baselines/Targets: While we will treat 2001 as the baseline year, it is also a performance year, since USAID has been supporting activities in the three zones.

Data Storage: SO 6 Team

THIS SHEET LAST UPDATED ON: 3/01/04

Methodology for Data Collection
Strategic Objective 6: More Effective Management of Conflict by
African Organizations

6.2 Great frequency/coverage of capacities to manage conflicts in the three target conflict zones

Indicator(s) and precise definitions: The presence or absence of eleven assets related to cross border CPMR will be assessed in each country of each zone, making up an index of assets that could potentially total 33 points for each zone, or a three composite zone index totaling 99 points (rounded to 100). In each zone, a point will be given for the presence or absence of each of the eleven assets (defined separately below) positively affecting the potential for each of the three countries to affect CPMR in the cross border zone.

Rationale for adapting draft index of 2001

The methodology for tracking results in fragile states, and by extension conflict prone cross-borders that include failed states is relatively undeveloped. See for example, the “U.S. Foreign AID” White Paper (September 2003) that identifies tracking of how results are achieved in fragile states as a challenge, including “issues of definitions, indicators, how to gauge commitment, whether foreign aid can make a difference, and how to define and measure results” (pg 23 question 13). The REDSO PMP SO6.2 indicator developed in 2001 exemplifies the relatively preliminary state of CPMR results tracking, especially for fragile states and conflict-ridden cross border zones. The proposed index is a refined and simplified version of indicator SO6.2 drafted in 2001. It is based on the SO 6 strategy and framework outlined on page three:

“the combination of three distinct but interrelated IRs working together will significantly increase the chances that conflicting forces can be steered into appropriate channels, that ongoing conflicts can be subdued, and that the effects of such conflicts will not lead to violent repetition.” The strategy explicitly focuses on a set of cross-border hot zones of conflict in the region, typically involving three countries, such as Uganda, Kenya and Sudan, or Kenya, Ethiopia, and southern Somalia.”

The index also takes into account promising theories and emerging methodologies of social capital (Robert Putnam, **Making Democracy Work**, 1994; Francis Fukuyama, **The Great Disruption**, 1999; and Deepa Narayan and Michael Cassidy “A Dimensional Approach to Measuring Social Capital: Development and Validation of a Social Capital Inventory – World Bank, Current Sociology, March 2001 Vol. 49(2) 59-102). The connection between the index and social capital is usefully clarified in a presentation by Michael Morfit of Development Alternatives Inc. presentation to USAID D/G and conflict practitioners entitled “Shifting the Conflict Lens: A Social Capital Approach to Conflict Prevention “. The presentation was summarized in Democracy Chronicle, Vol. 1 No. 3, May 2002); several of these highlights are excerpted (with edits) below. Morfit draws on a definition of social capital as:

“..the ability of people to work together for common purpose in groups and organizations.”

Morfit proposes a set of dichotomies that aid analysis of social capital. First is the ‘simplicity-complexity’ dichotomy that describes a range of opportunities for membership in

a society or layers of identity available to a person in a society. Second is the ‘rigidity-adaptability dichotomy that refers to the ability to evolve and to respond to new circumstances. The third dichotomy, ‘exclusion-access’ describes a degree of availability to participate in institutions and organizations by members of the society. Morfit noted that the variables tend to cluster, thus leading to a conclusion that social capital of societies is divided into two categories – shallow and deep. Deep social capital would characterize societies where memberships and identity are complex, flexible and inclusive. Morfit postulated that societies with well-developed, deep social capital are better equipped for managing conflict due to a broader range of institutions and organizations available to members’ of the society.

The donor’s objective should be to deepen social capital. Donors should develop a strategy encouraging the emergence of complex, flexible, and inclusive networks that transcend social cleavages. When addressing the issue of social capital, donors will ask different questions about institutions managing conflict and ways to make them more effective.”

By using a social capital framework of analysis, the donors would be able to address conflict more effectively. By placing a specific, measurable aspect of social relations along a spectrum leading from shallow to deep social capital would allow donors to assess how close or far away from conflict a society may be. It would also enable them to design an appropriate strategy to manage the dynamics of conflict more effectively. The social capital framework could help donors to better answer questions about a society and prepare a broader more systematic intervention.

Morfit closed his USAID session by challenging D/G and CPMR practitioners to conduct research and develop diagnostic instruments for assessing social capital and evaluative instruments for assessing the impact of past donor programs.

The SO6.2 refined indicator/index is such a diagnostic tool. The index measures a set of specific capacities drawn from a larger set in SO6.2 in the 2001 PMP framework. It also builds on experience and theory elaborated since 2001, such as work described above linking capacity building for CPMR to a framework for developing and measuring social capital.

METHODOLOGY, PROCEDURE AND INSTRUMENTS

1) Method to be used: method specification (e.g. survey, interviews, documentation review)

- Document review, interviews, and survey.
- a) Specific instrument to be used (e.g. survey questionnaire)**
Survey questionnaire, independent evaluation of criteria of index.
- b) Sampling technique for obtaining responses/data (if required)**
All files will be reviewed; 4 different evaluators will assess criteria for fit in index
- c) Other mode of selecting precise data source**
N/A
- d) Issues of validity, reliability, timeliness, integrity and precision (e.g. does it measure what it purports to measure and will it obtain the same results with repeated use?)**
No issues, data is clear

2) Written procedures

- a. describe step-by-step how instrument is to be used (so that someone else could easily repeat use of the instrument in carrying out the data collection)**
 1. Share index and 11 criteria with partners within and outside USAID to ensure method and expectations for data collection are understood
 2. Core SO6.2 team collect fugitive information during the year and partner reports relevant to changes on 11 criteria in each country of each cross border zone

3. Core SO6.2 team compiles information on each of 11 criteria by country by zone
4. Core team assigns 4 evaluators, including Contractor, to review pertinent information to assess status of criteria in the cross border areas, by country
5. Core team meets evaluates responses, meets with 4 evaluators to reconcile responses to test reliability, validity, timeliness, integrity and precision of data and scores produced.
6. Scores for each zone are added to make the index (max points 100).
7. Core team will determine, with RCMG team, if narrative is needed to clarifying judgments.
8. Core SO6.2 indicator team will prepare narrative clarifying process of establishing and scoring index as appropriate.

b) Define potential limitations, bias factors

Scoring of criteria will require objectivity and good information for 4 independent evaluators.

G. Define categories of how data are to be presented

See Index Table

ANALYSIS AND PRESENTATION

1) Mode of Analysis

b) Quantitative (describe procedures, statistical or otherwise)

Developing index by adding criteria. Each criterion measured as “present or absent” (binary scoring)

c) Qualitative (describe procedures – e.g. content analysis)

Narrative to clarify scoring of criteria where appropriate

d) Mix of qualitative and quantitative (describe how each supports the other)

See above regarding explanation of index accompanied by narrative

e) Mode of Presentation/Interpretation, e.g. table, graph, scale, bar chart, narrative

Table with narrative

f) Rationale for Analysis/Interpretation

Assets will produce opportunities for individuals, groups and organizations to work together to address implement CPMR across borders more synergistically and effectively.

INSTRUMENT OR PROTOCOL DESIGN AND TESTING

1. Steps on designing and testing the instrument

e) Steps for design

See discussion above re rationale for refinement of draft (2001) indicator

f) Steps to testing instruments

Described above

2. Unique features – this is a new and untested approach

3. The instrument itself – is new and untested

PEACE CAPACITIES INDEX FOR INDICATOR 2
REDSO/ESA SO6: More Effective Management of Conflict by African Organizations
KARAMOJA CONFLICT ZONE

Asset No.	IR	Capacities in zone, measured on an annual basis and associated with REDSO/RCMG support Point System Utilized: 0 pts, no country; 1 pt., 1 country; 2 pts, for 2 countries; 3 points for 3 countries where capacity is present	Base line 01 K	Target 03 K	Act 03 K	Tar 05 K	Act. 05 K
1	3	Political will demonstrated at the national level by support for a regional mechanism of conflict early warning and response (e.g. CEWARN)	0	3	3	3	
2	2	Data collection system for monitoring conflict prevention, mitigation and response (CPMR) in place at the local level.	0	3	3	3	
3	2	A channel of communication reaching across the zone (e.g. a zonal peace newsletter or radio program)	0	3	3	3	
4	3	An ICT network linking key CPMR organizations within and outside the zone	0	1	0	3	
5	3	A group of parliamentarians meeting regularly to address issues within the zone.	0	2	2	3	
6	3	Strengthened peace committees comprising local government and local CSOs addressing conflict issues.	1	3	3	3	
7	3	Strengthened cross-border peace networks encouraging women and youth leaders in the zone.	0	3	3	3	
8	2	Use of effective cross-border CPMR approaches of CSOs (e.g., faith-based organizations).	1	3	3	3	
9	2	Use of local problem solving dialogues to address CPMR issues, (e.g. the initiation of dialogue by veterinarians , health services, NGOs assisting in construction and peaceful utilization of dams and boreholes, or providing health services including addressing HIV/AIDS) using traditional practices.	1	3	3	3	
10	1	Organizations working in zone with staff having improved, relevant CPMR skills.	0	3	3	3	
11	3	Increased donor involvement in addressing cross-border CPMR issues	1	3	3	3	
		TOTAL	4	30	29	33	

PEACE CAPACITIES INDEX FOR INDICATOR 2
REDSO/ESA SO6: More Effective Management of Conflict by African Organizations
SOMALI CONFLICT ZONE

Asset No.	IR	Capacities in zone, measured on an annual basis and associated with REDSO/RCMG support Point System Utilized: 0 pts, no country; 1 pt., 1 country; 2 pts, for 2 countries; 3 points for 3 countries where capacity is present	Base Line 01 S	Tar 03 S	Act 03 S	Tar 05 S	Act 05 S
1	3	Political will demonstrated at the national level by support for a regional mechanism of conflict early warning and response (e.g. CEWARN)	0	0	0	3	
2	2	Data collection system for monitoring conflict prevention, mitigation and response (CPMR) in place at the local level.	0	0	0	3	
3	2	A channel of communication reaching across the zone (e.g. a zonal peace newsletter or radio program)	0	0	0	3	
4	3	An ICT network linking key CPMR organizations within and outside the zone	0	0	0	3	
5	3	A group of parliamentarians meeting regularly to address issues within the zone.	0	2	1	3	
6	3	Strengthened peace committees comprising local government and local CSOs addressing conflict issues.	1	3	3	3	
7	3	Strengthened cross-border peace networks encouraging women and youth leaders in the zone.	1	3	3	3	
8	2	Use of effective cross-border CPMR approaches of CSOs (e.g., faith-based organizations).	1	3	3	3	
9	2	Use of local problem solving dialogues to address CPMR issues, (e.g. the initiation of dialogue by veterinarians , health services, NGOs assisting in construction and peaceful utilization of dams and boreholes, or providing health services including addressing HIV/AIDS) using traditional practices.	1	3	3	3	
10	1	Organizations working in zone with staff having improved, relevant CPMR skills.	0	3	3	3	
11	3	Increased donor involvement in addressing cross-border CPMR issues	1	3	3	3	
		TOTAL	5	20	18	33	

PEACE CAPACITIES INDEX FOR INDICATOR 2
REDSO/ESA SO6: More Effective Management of Conflict by African Organizations
EASTERN GREAT LAKES CONFLICT ZONE

Asset No.	IR	Capacities in zone, measured on an annual basis and associated with REDSO/RCMG support Point System Utilized: 0 pts, no country; 1 pt., 1 country; 2 pts, for 2 countries; 3 points for 3 countries where capacity is present	Bs Li01 GL	Tar 03 GL	Act 03 GL	Tar 05 GL	Act 05 GL
1	3	Political will demonstrated at the national level by support for a regional mechanism of conflict early warning and response (e.g. CEWARN)	0	0	0	3	
2	2	Data collection system for monitoring conflict prevention, mitigation and response (CPMR) in place at the local level.	0	0	0	3	
3	2	A channel of communication reaching across the zone (e.g. a zonal peace newsletter or radio program)	0	3	3	3	
4	3	An ICT network linking key CPMR organizations within and outside the zone	0	0	0	3	
5	3	A group of parliamentarians meeting regularly to address issues within the zone.	0	1	1	3	
6	3	Strengthened peace committees comprising local government and local CSOs addressing conflict issues.	0	0	0	3	
7	3	Strengthened cross-border peace networks encouraging women and youth leaders in the zone.	0	0	0	3	
8	2	Use of effective cross-border CPMR approaches of CSOs (e.g., faith-based organizations).	0	0	0	3	
9	2	Use of local problem solving dialogues to address CPMR issues, (e.g. the initiation of dialogue by veterinarians , health services, NGOs assisting in construction and peaceful utilization of dams and boreholes, or providing health services including addressing HIV/AIDS) using traditional practices.	0	0	0	3	
10	1	Organizations working in zone with staff having improved, relevant CPMR skills.	0	2	2	3	
11	3	Increased donor involvement in addressing cross-border CPMR issues	0	0	0	3	
		TOTAL	0	6	6	33	

PEACE CAPACITIES INDEX

NARRATIVE SUMMARY EXPLAINING THE 11 CAPACITIES

A key outcome of SO6 is increased density and potential synergy of peace capacities for conflict prevention, mitigation and response available in the cross-border conflict zones. Greater frequency and broader coverage of peace capacities will enable stakeholders to more effectively prevent and resolve problems related to conflict. SO6 resources have helped produce more than the 11 peace capacities that are listed in the index; the list comprises a useful inventory that can be monitored in the zone. The index is constructed to capture CPMR resources that are available to stakeholders in the territory of each of the countries that make up the cross-border zone. A point can be earned for the presence of a peace capacity in each of the countries sharing the zone, thus three points can be earned if the peace capacity is available in all three border areas of the three countries making up the zone. There are three zones, requiring an index to be completed for each zone. Thus the full score, if all types of efforts were initiated in country of each a zone, would be 99, or 33 (per zone) x 3. The zones include:

- Karamojong cluster: NW Kenya, NE Uganda, SE Sudan, SW Ethiopia
- Pastoralist cross boarder area of NE Kenya, Southern Ethiopia, SW Somalia
- East Great Lakes including W Tanzania, Burundi, S. Rwanda

The types of efforts that will lead to improved CPMR capacities are listed below. A narrative accompanies each table. Procedures for baseline data collection are described in detail in the attached data collection methodology form.

1. *Political will demonstrated at the national level by support for a regional mechanism of conflict early warning and response (e.g. CEWARN)*

1 point for each country belonging to an intergovernmental organization involved in target cross border zones that has formerly ratified a conflict prevention mitigation system (e.g. setting up the CEWARN protocol).

2. *Data collection system for monitoring conflict prevention, mitigation and response (CPMR) in place at the local level*

A system like CEWARN requires field monitors trained in best practices and collecting data to pilot the system in a cross border zone. A point for each country where there field monitors are collecting data within the cross border conflict zone and sending data to the country coordinator.

3. *A channel of communication reaching across the zone (e.g. a zonal peace newsletter or radio program)*

1 point for each country where there are at least 3 publications of a zonal peace letter available annually or where there is at least one monthly radio program, acting as a channel of information on CPMR in zone-wide communication.

4. *An ICT network linking key CPMR organizations within and outside the zone*

1 point for at least three organizations – each of which uses ICT to network and communicate among stakeholders and practitioners focusing on a local border conflict that affects at least two countries in the zone. CPMR topics broaden the reach for information and education for CPMR practices, and provide the basis for systems of CPMR early warning and early response.

5. ***Parliamentarians from the area meeting to address issues of conflict and CPMR within the zone***
1 point where a group of parliamentarians meets at least twice a year to address conflict issues within the zone
6. ***Strengthened peace committees comprising local government and local CSOs addressing conflict issues***
1 point for where at least 2 peace committees meet within the year. Peace Committees deal with common cross-boarder problems used to halt or reduce conflict in the cross boarder. CSOs working in CPMR at the community level include traditional institutions such as Council of Elders and Khadis' courts who have received prior CPMR training and application of conflict management tools.
7. ***Strengthened cross-border peace networks encouraging women and youth leaders in the zone.***
1 point for each country in the zone with a network in which there is leadership manifested demonstrated by women.
8. ***Use of effective cross-border CPMR approaches of CSOs (e.g. faith based organizations)***
1 point for each country in the zone characterized by a CPMR faith-based initiative.
9. ***Use of local problem solving dialogues to address CPMR issues, (e.g. the initiation of dialogue by veterinarians , health services, NGOs assisting in construction and peaceful utilization of dams and boreholes, or providing health services including addressing HIV/AIDS) using traditional practices.*** 1 point for each country in which there is a local CPMR problem solving effort initiated by a service provider.
10. ***Organizations working in zones with staff having improved, relevant CPMR skills.*** 1 point in each country in the zone where there are at least two NGOs that have staff who have received local training in CPMR that has some curriculum based on zonal circumstances.
11. ***Increased donor involvement in addressing cross-border CPMR issues.*** 1 point for each country in which SO6 efforts are supported in some way by other donors.

RATIONALE FOR ORGANIZING THE ARRAY OF CAPACITIES OUTLINED IN THE ORIGINAL SO 6.2 OF 2001 INTO A SINGLE INDEX

The methodology for tracking results in fragile states, and by extension conflict prone cross-borders is relatively undeveloped. See for example, the “U.S. Foreign AID” White Paper (September 2003) that identifies tracking of how results are achieved in fragile states as a challenge, including “issues of definitions, indicators, how to gauge commitment, whether foreign aid can make a difference, and how to define and measure results” (pg 23 question 13). The REDSO PMP SO6.2 indicator developed in 2001 exemplifies the relatively preliminary state of CPMR results tracking, especially for fragile states and conflict-ridden cross border zones. The proposed index is a refined and simplified version of indicator SO6.2 drafted in 2001. It is based on the SO 6 strategy and framework outlined on page three:

the combination of three distinct but interrelated IRs working together will significantly increase the chances that conflicting forces can be steered into appropriate channels, that ongoing conflicts can be subdued, and that the effects of such conflicts will not lead to violent repetition.” The strategy explicitly focuses on a set of cross-border hot zones of conflict in the region, typically involving three countries, such as Uganda, Kenya and Sudan, or Kenya, Ethiopia, and southern Somalia.

The index also takes into account promising theories and emerging methodologies of social capital (Robert Putnam, *Making Democracy Work*, 1994; Francis Fukuyama, *The Great Disruption*, 1999; and Deepa Narayan and Michael Cassidy “A Dimensional Approach to Measuring Social Capital: Development and Validation of a Social Capital Inventory – World Bank, *Current Sociology*, March 2001 Vol. 49(2) 59-102). The connection between the index of CPMR efforts included in SO6.2 and the concept social capital is usefully clarified in presentation to USAID D/G and conflict practitioners entitled “Shifting the Conflict Lens: A Social Capital Approach to Conflict Prevention”. The presentation was summarized in *Democracy Chronicle*, Vol. 1 No. 3, May 2002); several of these highlights are excerpted (with edits) below. . :

Social capital is “the ability of people to work together for common purpose in groups and organizations.”In the presentation, Michael Morfit of Development Alternative Inc., proposes a set of dichotomies that aid analysis of social capital. “First is the ‘simplicity-complexity’ dichotomy that describes a range of opportunities for membership in a society or layers of identity available to a person in a society. Second is the ‘rigidity-adaptability dichotomy that refers to the ability to evolve and to respond to new circumstances. The third dichotomy, ‘exclusion-access’ describes a degree of availability to participate in institutions and organizations by members of the society. Morfit noted that the variables tend to cluster, thus leading to a conclusion that social capital of societies is divided into two categories – shallow and deep. Deep social capital would characterize societies where memberships and identity are complex, flexible and inclusive. Morfit postulated that societies with well-developed, deep social capital are better equipped for managing conflict due to a broader range of institutions and organizations available to members’ of the society.

The donor’s objective should be to deepen social capital. Donors should develop a strategy encouraging the emergence of complex, flexible, and inclusive networks that transcend social cleavages. When addressing the issue of social capital, donors will ask different questions about institutions managing conflict and ways to make them more effective.

By using a social capital framework of analysis, the donors would be able to address conflict more effectively. By placing a specific, measurable aspect of social relations along a

spectrum leading from shallow to deep social capital would allow donors to assess how close or far away from conflict a society may be. It would also enable them to design an appropriate strategy to manage the dynamics of conflict more effectively. The social capital framework could help donors to better answer questions about a society and prepare a broader more systematic intervention.”

Morfit closed his USAID session by challenging D/G and CPMR practitioners to conduct research and develop diagnostic instruments for assessing social capital and evaluative instruments for assessing the impact of past donor programs.

The SO6.2 indicator tracking frequency and coverage of CPMR efforts in an index is such a diagnostic tool. The index measures a set of specific capacities drawn from a larger set in SO6.2 in the 2001 PMP framework. It also builds on experience and theory elaborated since 2001, such as work described above linking capacity building for CPMR to a framework for developing and measuring social capital.

Indicator 6.1.2: Number of target groups demonstrating progress on those elements of the OCAT selected for improvement in the institutional strengthening plan

Status: **Keep but modify** for ‘04/’05 to:

Indicator 6.1.2a: Number of targeted groups demonstrating progress on selected criteria

Rationale: As above, due to the expiration of PACT agreement and the phase-in of the new MAC IQC, the measurement tool will be decided upon when the new mechanism comes into place. However, a baseline will be established for each organization as a starting point and an evaluation will be conducted at the end of strengthening period. There will be a mid-term evaluation to show progress and a continuous monitoring process will be put in place to track progress.

Indicator 6.1.3: Number of target groups conducting improved conflict analysis and strategy formulation

Status: **Drop**

Rationale: A Baseline was not done for this Indicator; therefore it will be dropped from the PMP

Indicator 6.1.4a: Number of institutions with conflict analysis trained trainers in place

Status: **Drop**

Rationale: A baseline was not done for this indicator. In addition, it does not add significantly to IR 6.1.4b.

6.1.4b Number of conflict analysis training courses conducted annually

Status: **Keep but change number to IR 6.1.3**

IR 6.2 Expanded application of effective approaches in managing conflict

Indicator 6.2.1 Number of target groups applying an effective approach (disaggregates for inside and outside the cross-border zones and by effective approach)

Status: **Keep but modify** “precise definition”

Rationale: Amend this IR to remove inclusion of results from secondary organizations, i.e. organizations not receiving funding from USAID. The reason for doing this is that gathering information on this will be expensive and time-consuming. Given the large numbers of groups receiving training, and the standard of application necessary to count an organization as actually having used training to implement an activity, it will be beyond the management capacity of REDSO SO team to monitor this indicator.

IR 6.2.2 Case studies of the extent to which the applications of the three approaches meet quality criteria

Status: **Modify to merge with IR 6.2.3**

Rationale: The cost of data acquisition is very high in terms of finances required and staff supervision. In addition, the indicator feeds into indicators under IR 6.2.1 and therefore demonstrates less application. Propose that we keep the indicator in terms of identifying and studying effective approaches but as the aim is to identify effective approaches for managing conflict, we should shift the indicator away from the number of case studies (which supports the effective approach) and instead, we should focus on the identification of one effective approach per reporting period, supported by 2-3 case studies.. By merging this indicator with the new indicator below, we will demonstrate that we are adding to the body of knowledge regarding conflict in the region to help practitioners and policy makers. The “effective approaches” identified and studied would fall under “internal” reports.

IR 6.2.3 Number of research or analyses on conflict issues (disseminated broadly)

Status: **NEW INDICATOR** merged with IR 6.2.2

Rationale: This indicator helps to demonstrate an increase in the analyses on conflict issues as well as increasing the number of studies to assist practitioners in conflict resolution. It will also build capacity of actors in conflict prevention to understand the underlying causes of conflict. It is understood that changing policy to address the underlying causes of conflict requires better knowledge of actors, which helps feed into changing the political will of decision-makers. By including CVAs and other internal reports in the indicator, we are showing how the SO6 team is helping bilateral missions to respond to conflict threats through improved strategies. Also, as it is USAID policy for missions to conduct conflict vulnerability assessments to assist in the development of new Integrated Strategic Plans, this indicator gives the SO team the opportunity to this activity as it supports the achievement of our Strategic Objective. In the development of this indicator, there was some discussion about whether to include internal and external reports. The inclusion of internal reports means that the indicator will be measuring a lower level of result. However, because the SO team invests substantial amount of time and funds in producing internal reports such as conflict vulnerability assessments, the team felt that these results should be captured under this indicator as this work is not measured elsewhere.

IR 6.3 Increased Networking among Stakeholders in CPMR

IR 6.3.1 Adoption of formal instruments for CSOs to affiliate with intergovernmental bodies addressing conflict

Status: **Keep for '03, Modify for '04/'05**

Potential modifications: On data quality, add a) instruments developed to officially affiliate CSOs in intergovernmental bodies, b) meetings held between intergovernmental organizations

and CSOS to discuss the instruments, and c) the period taken between instrument development and full adoption and operationalization. All three needed to count as actual “adoption”.

IR 6.3.2 Average number of CSOs attending network meetings

Status: **Drop**

Rationale: This indicator too closely reflects the level of REDSO inputs as the CMG can request that CSOs be invited to network meetings, as well as allocate funds for their attendance. As a result the indicator does not demonstrate growing networking capacity and will. The team is finding it difficult to identify an indicator which adequately reflects progress on networking. Finally, the indicator was not reported on for the first three years of the strategy.

IR 6.3.3 Percent of CSOs attending at least one network meeting of network utility

Status: **Drop**

Rationale: This indicator was not reported on for the life of the PMP and therefore will be dropped

IR 6.3.4a: Percentage of network members connected to the internet

Status: **Drop**

Rationale: Recommend that this indicator be dropped because it doesn’t have as much utility as the team thought it would when the PMP was developed in 2001. Nearly all of our partners now have internet connections. However, because their connectivity is at different levels, this can be measured under 6.3.4b.

IR 6.3.4b: Percentage of network members with a CPMR website updated in the last 12 months.

Status: **Modify to:**

IR 6.3.2: Number of network members with a CPMR website updated in the past 12 months

Rationale: As updating a website is a continuous process, suggest that we keep the website review process as annual, but progress should be demonstrated by the currency of the website. In addition, because the number of network members is small (ten), percentage is a less useful measurement than numbers. In future when most of our partners have a CPMR website, we can change the Indicator to read “Percent of network members with a CPMR website reviewed in the last 12 months”.

IR 6.2.5: Percent of network members who report contacting another CSO or government network member in the last 90 days

Status: **Drop**

Rationale: This indicator was not reported on since the start of the Strategy and will therefore be dropped. In addition, because the number of network members is only 10, and all the members

are highly active in the field of conflict resolution, 100 % of members are likely to be achieving this already.

ANNEX B:

MSI Technical Report Responses

ANNEX B:
MSI Technical Report Responses

1. Baseline analysis/data collection at the SO level critical: *CMG response: Planning for this ongoing. Date of Baseline analysis and data collection will be completed by October 3.*
2. Data quality assessment for IR 6.1.4b needed: *CMG response: Completed.*
3. Including the establishment and operation of peace committees as a sub-indicator, given the large number of peace committees established by groups receiving funding: *CMG response: Given the number of changes taking place to the PMP over this period, it was felt that adding an indicator may make the PMP more complicated. In addition, the indicator measuring number of organizations implementing the effective approach “local problem-solving dialogues” reflects a result similar to the establishment of peace committees, as peace committees generally implement dialogues between groups in conflict. The RCMG could consider including this indicator in the new strategy for 2005-2009.*
4. Objectively define “effective approaches”: *CMG response: completed and incorporated into the PMP.*
5. IR 6.2.1 Target organizations not keeping a record of all their relevant activities, meaning the implementation of some effective approaches not being recorded. *CMG response: Data quality analysis will be carried out before October 30 on 2002 data. From that, an analysis will be made of documentation of implementation of effective approaches. Recommendations based on findings will outline a data collection plan strategy which ensures results are captured more completely and in a more timely manner.*
6. IR 6.2.1a calls for a method to distinguish the importance of one approach as applied by an organization over another applied by the same organization. There is a similar need to distinguish the importance of one zone over another. *CMG response: Done*
7. Inclusion of new indicator IR 6.2.3: Number of reports disseminated. *CMG response: Done. Rationale in Annex A.*
8. IR 6.2.3 There is a need to define “widely disseminated”. *CMG response: Indicator changed back to include external (and widely disseminated) vs internal (generally not widely disseminated) in order to capture the cost- and time-intensive conflict vulnerability assessments and other reports carried out under the SO team’s programs. See explanation in Annex B.*
9. IR 6.3.1: Because of the complex nature of adopting a single instrument for formal government ratification, the SO team may want to consider an indicator that tracks completion of interim milestones towards toward a formal step like adoption of a protocol. *CMG response: To be added to data quality: a. instruments developed to officially affiliate CSOs in intergovernmental bodies, b. meetings held between intergovernmental organizations and CSOs to discuss the instruments, and c. the period taken between instrument development and full adoption and operationalization. The achievement of all three would be necessary to count as actual “adoption”.*

10. IR 6.3.4b: Number of targeted network members with a CPMR website updated in the last 12 months. Originally this indicator read “Percentage of target groups connected to the internet” but MSI consultants realized during interviews that most organizations were already connected to the internet, and they therefore recommended a more robust indicator which would measure the number of organizations with an updated website over the year. *CMG response: Since the universe of network members with whom we are working is relatively small (10 total), a count of the number of organizations updating their websites would demonstrate progress over the life of the strategy. The goal would be to have all ten network members with established, updated websites at the end of 2005.*
11. IR 6.3.4b: Data quality question regarding documentation of internet connectivity. Will the ongoing ICT report provide baseline and FY 2002 results? *CMG response: Yes, and will be used as basis for data quality assessment and included in the PMP and Annual Report.*
12. Use the annual review of progress on the SO indicators to develop comprehensive, credible and concrete information of changes and results at the SO level to three zones. *CMG response: Ongoing.*
13. Synthesize the body of analytical work and link to the results framework with a sub-indicator. Hold a workshop to review the findings and lessons learned from the synthesis. *CMG response: Synthesizing analytical work is often on an ad hoc basis, especially during CVAs. Adding a sub-indicator is too late in the current strategy.*
14. Continue organizational strengthening and seek additional funding for conflict management. *CMG response: ongoing with new PEACE project under the MAC IQC.*
15. Christen new “effective” conflict management approaches with deliberate, transparent method. *CMG response: Ongoing under Intermediate Results work. This has been folded into IR 6.2.3 which measures numbers of reports and analyses on conflict.*
16. Link the conflict SO6 to REDSO SOs and other USAID mission SOs in the region. *CMG response: The new PEACE project under the Managing African Conflict IQC will facilitate some of these linkages. The SO team already engaging missions on strategies, and the PEACE project should consolidate this as well as free up the SO team to work more closely with missions to strategize.*
17. Communications and outreach strategy for USAID. *CMG response: This is happening as needed.*
18. Consult with and involve AFR/Washington on next steps. *CMG response: This is an ongoing process.*

Annex C:

Selected USAID Partner Profiles

Annex C: Selected USAID Partner Profiles

The following is a list of key USAID partners which have or are receiving support since the start of the strategy. A number of other organizations receiving smaller, short-term grants are not listed here.

Action for Development of Local Communities. ADOL is a Ugandan NGO based in the Karamoja Cluster working to address the challenges of development caused by insecurity, human rights violations and conflict through reconciliation dialogues, technical support to peace groups, research, and conflict prevention training, among others. ADOL was funded to conduct research and a workshop on peaceful disarmament of the Karamoja. More recently, they are being supported to continue cross-border dialogues with warring communities in Uganda, Kenya, and Sudan, as well as peace education in schools throughout the area.

ADRA Rwanda. The Adventist Development and Relief Agency is an international NGO working to promote relief and development to communities around the world. In Rwanda, ADRA was supported by USAID to implement an outdoor-based therapy project working with street children and other youth traumatized by conflict. The project is designed to promote teamwork, trust and self-worth by teaching conflict management, coping skills, and problem solving skills through outdoor activities.

Aktion Afrika Hilfe, Aktion Afrika Hilfe is a Ugandan NGO working with the Jesuit Relief Services in Obongi County, Moyo. The organization was supported to enhance local capacity for conflict resolution and peace building among refugee communities to increase their participation in policy decisions and improve their involvement in conflict resolution.

Africa Peace Forum. APFO is a Nairobi-based NGO working to contribute to the effective management of conflicts and the promotion of peace and security in the Horn of Africa and the Great Lakes Region. Under the ISGM program, APFO has received considerable institutional strengthening support and a grant to conduct ICT training for their peace partners in the Great Lakes. They are also being funded to train legislatures from the East African Legislative Assembly on conflict management skills.

African Centre for Technology Studies. ACTS is an international inter-governmental policy research and training organization based in Nairobi, Kenya, focusing on biodiversity, climate change and desertification. USAID supported their book which researched links between the environment and conflict throughout the region entitled “Scarcity and Surfeit: Ecological Sources of African Conflicts.” In addition, the organization is receiving a grant to conduct a research and advocacy project on land rights and natural resource uses in conflict areas.

African Union – Interafrican Bureau for Animal Resources. AU-IBAR is a specialized technical agency of the African Union (AU) mandated by member states to promote livestock development in Africa. The Community-Based Animal Health and Participatory Epidemiology (CAPE) Unit is part of AU/IBAR, specializing in primary-level veterinary services in pastoralist areas of the Greater Horn of Africa. USAID supported their work in the Karamoja Cluster for a series of innovative border harmonization meetings between communities in conflict, including enhancing the role of women as key facilitators for peace.

Arid Lands Development Focus. ALDEF is a Kenyan NGO based in Wajir working in Kenya and Somalia, implementing programs to improve pastoral livelihoods. ALDEF has received institutional strengthening support as well as a grant to enhance their programs in water, animal health and peace building.

Bahr-El-Ghazal Youth Development Agency. BYDA is a Sudanese NGO registered in Kenya and the New Sudan. Operating out of Mapel, BYDA strives to create opportunities to empower the people of Sudan, promotion of activities that encourage self-reliance and the promotion of peace and unity. BYDA

has received REDSO CMG support in institutional strengthening, building local conflict management structures, and civic education at local and national levels.

The Common Market for East and Southern Africa. COMESA is made up of 21 member countries: Angola, Burundi, Comoros, Congo the Democratic Republic of the Congo, Djibouti, the Arab Republic of Egypt, Eritrea, Ethiopia, Kenya, Madagascar, Malawi, Mauritius, Namibia, Rwanda, Seychelles, Sudan, Swaziland, Tanzania, Uganda, Zambia and Zimbabwe. The Regional Conflict Management and Governance Team has funded two activities in support of COMESA's work. One is help to establish a COMESA Court of Justice; the other is to fund consultants and workshops to help design modalities for Peace and Security for COMESA member states.

Community Initiative Facilitation Assistance. CIFA is a Kenyan NGO based in Marsabit and Moyale, Kenya, engaged in extensive cross-border work into Ethiopia with the aim of increasing development services and reducing conflict among pastoral communities. CIFA was funded under ISGM to increase its work into Ethiopia through the development of water resources and animal health services linked with peace building work to encourage dialogue across communities in conflict.

Concern for Development Initiatives (FORDIA). Fordia is a Kenyan NGO which engages in research, training, publicity and consultancies in peace building, democracy and governance, gender equity and poverty issues. FORDIA was supported to conduct a training in the Great Lakes on conflict management skills for NGO staff.

Education Development Center. EDC is an international, non-profit organization with global projects dedicated to enhancing learning, promoting health, and fostering a deeper understanding of the world. EDC has been funded by REDSO/CMG and USADI Ethiopia to develop an Interactive Radio Instruction program in Somali region in Ethiopia to incorporate primary education and peace programs. This program is working to develop local capacities of journalists, studio technicians and teachers as well as providing technical inputs such as the establishment of a broadcast studio.

FEWS NET. The Famine Early Warning System Network aims to strengthen the abilities of African countries and regional organizations to manage risk of food insecurity through the provision of timely analytical early warning and vulnerability information. FEWS NET carried out a pilot study in the Karamoja Cluster to explore the linkages between early warning information and conflict, and succeeded in establishing a network of peace actors across the borders between Uganda and Kenya, publishing and disseminating a series of newsletters, and training stakeholders on interpreting early warning information.

Forest Action Network. FAN is a Kenyan-based established to enhance the capacity of communities to manage conflict through exchange visits among natural resource management organizations. FAN has received substantial institutional strengthening support ISGM, as well as a grant to develop conflict management skills of communities and stakeholders through advocacy, strengthening of indigenous management structures and other participatory resource management systems.

The Intergovernmental Authority for Development. IGAD is an organization of seven member states that includes Kenya, Djibouti, Ethiopia, Eritrea, Kenya, Sudan and Somalia. In partnership with USAID's Regional Office and the German Government through GTZ, IGAD is currently developing a conflict management system to warn and respond to armed conflicts within the IGAD region, beginning in high-risk cross-border pastoral zones.

Intermediate Technology Development Group. ITDG is a NGO based in Northern Kenya working on a variety of issues facing pastoralists, ranging from development, HIV/Aids, conflict prevention and election monitoring. Working with local NGO PACODEO, ITDG has been funded to initiate a Northern Kenya conflict resolution project which includes training in peace building, school drama activities, exchange visits, and successful peace agreements.

Lawyers Environmental Action Team. LEAT is the first public interest environmental law organization in Tanzania with the mission to ensure sound natural resource management and environmental protection in Tanzania. LEAT carries out policy research, advocacy, and selected public interest litigation. Under the

ISGM program, REDSO funded the organization to improve its strategic planning and expand its regional membership to develop partnerships with organizations in Kenya and Uganda.

National Council of Churches of Kenya. Registered in Kenya, NCKK works on a wide variety of issues related to development, democracy, governance and conflict in Kenya, including the constitutional review process. NCKK is an important REDSO partner, and has received support for community peace building in El Doret and Mombasa. More recently, NCKK is collaborating with the Ugandan Joint Christian Council on cross-border peace programs in the Karamoja Cluster. In addition, NCKK received ICT support from REDSO for their Nairobi headquarters and nine field offices.

New Sudan Council of Churches. NSCC is a coalition of church-based groups working towards peace and unity among the peoples of South Sudan. NSCC was supported with small grants to hold a number of people-to-people peace talks to reconcile communities in conflict, as well as a larger grant to develop a training manual on their successful peace processes, to help them disseminate lessons learned throughout the region.

NORDA. Northern Regional Development Agency is a Mandera-based NGO working to address food security, conflict and women's role in development, liaising with Ethiopian and Somali counterparts across the border as well as other Kenyan NGOs. NORDA has received support under the Institutional Strengthening and Grant-Making program to link food security and conflict prevention activities.

Participatory Ecological Land-Use Management. PELUM was formed in 1995 and is comprised of 25 NGO members from 7 countries in East Africa and the Horn. The organization received institutional support through PACT to strengthen the food security network and enhance their members' ability to address conflict in their programs.

RECONCILE. The Resources Conflict Institute is a public interest natural resources and environmental law NGO based in Nakuru, Kenya. In addition to institutional strengthening support, they were funded for a project to research water policy options among pastoral communities in the region, working with local communities to agree on project development.

Ugandan Joint Christian Council. UJCC is a faith-based interdenominational organizations based in Uganda working on peace building within Uganda and collaborating with other church-based consortia in Kenya and Sudan. UJCC is working with NCKK on a cross-border peace dialogue and food security program in the Karamoja Cluster, has received a small grant to sensitize religious leaders on conflict issues in the Cluster, and is receiving support to enhance their internet networking capabilities.

Wajir Peace and Development Agency. WPDA is an organization based in Wajir, Kenya which has developed ground-breaking conflict response systems involving elders, women, youth, local administrative officials, police and security forces. WPDA was supported through USAID grants to local NGOs for their Rapid Response systems, as well as integrating conflict management systems into development services such as the establishment and joint usage of bore holes across communities historically in conflict.

Wajir South Development Agency. WASDA is a Wajir-based NGO working to enhance animal health services and water access as well as reduce conflict in Wajir South, Kenya, and into Somalia. ISGM has supported them with institutional strengthening and a grant to expand the above activities. WASDA works closely with WPCD on development or peace committees and incorporation of a conflict perspective into the implementation of development activities.

Annex D:
Matrix of 2001-2003 Activities by Zone

Annex D: Matrix of 2001-2003 Activities by Zone

The following are the organizations supported over the life of the SO 6 strategy. A number of new organizations may be added to the list in the final two years of implementation. This chart does not necessarily represent how the activities will be measured as not all of the Indicators are disaggregated by conflict zone. It is meant to illustrate roughly the geographic spread of activities.

	Karamoja Cluster	Somali/Boran zone	Great Lakes	Outside zones or I
Institutional strengthening		CIFA* WASDA	Rwanda Women's Network	APFO BYDA FAN RECONCILE LEAT PELUM
Training	PACT COPA CEWARN	PACT CEWARN	PACT CMG	PACT APFO FORDIA
Effective Approaches	FEWS NET* NCCK* FAN AU-IBAR (3)* ADOL NCCK/UJCC* World Vision-POKATUSA (2) UJCC	EDC WPDA*, ** CIFA* NORDA* ALDEF* WASDA* ASEP*	CARE Burundi ADRA CMG URC (IRC)	ITDG UNICEF RECONCILE NSCC Forest Action Netw Aktion Afrika Hilf Acholi Religious L Ethiopian Youth L Conference UNESCO Peace Jo BYDA HACDAD (2) Diocese of Norther REDET Women as Partner FONI

	Karamoja Cluster	Somali/Boran zone	Great Lakes	Outside zones or I
Effective Approaches (continued)				CECORE Red Barnet War-Torn Societies
Research/studies	USAID/MSI APFO	Foley Somali/Boran	APFO CARE Burundi Rwanda CVA Burundi CVA	Somali Studies/Cl ACTS (2) NSCC CEWARN book Ethiopia CVA MSI PBP “Effectiv study Tanzania CVA
Adoption of formal instruments	CEWARN	CEWARN		CEWARN COMESA
Updated website	AU-IBAR UJCC			APFO COMESA EAC IGAD/CEWARN FECCLAHA NCCK

Annex E:

Data Collection Schedule

Annex E: Data Collection Schedule

Indicator and Activity	Episodic	FY 2004				FY 2005				FY 2006		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
SO 1a: Number of IGAD reports pointing to a serious risk of conflict												
Compile and review reports to determine if they qualify to be counted						X				X		
Data Quality Assessment						X						
SO 1b: Qualitative analysis of IGAD situation reports pointing to a serious risk of conflict												
Review reports to determine if they meet criteria: write narrative						X				X		
Data Quality Assessment						X						
SO 6.2: Greater frequency/coverage of efforts to manage conflicts in the three target conflict zones												
Completion of asset measurement index						X						
Data Quality Assessment		X								X		
SO 6.3: Mitigation of some factors driving conflict												
Write-up narrative description						X						
Data Quality Assessment		X										
IR 6.1.1 Number of target organizations demonstrating change on the index of organizational strengthening												
Completion of final OCAT measurement		X										
Data Quality Assessment		X										
Review results		X										
NEW IR 6.1.1a: Number of organizations demonstrating change on the NEW index to be determined												
Establishment of index with new contractor		X	X									
Select partners for program			X									
Begin institutional strengthening				X								
Establish data collection plan			X									
Report on data		X				X				X		
IR 6.1.2 Number of organizations demonstrating progress on selected elements of the OCAT (proxy for Indicator 1)												
Completion of final OCAT	X	X										
Data Quality Assessment												

Indicator and Activity	Episodic	FY 2004				FY 2005				FY 2006		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
IR 6.1.3 Number of conflict training courses conducted annually												
Review reports to confirm data correct: follow-up if necessary	X											
Report on data		X				X				X		
Data Quality Assessment		X								X		
IR 6.2.1 Number of organizations applying an effective approach												
Provide reporting guidelines and effective approaches studies	X											
Receive reports from partners	X											
Review reports to determine if projects meet quality criteria		X	X	X	X	X	X	X	X	X	X	X
Compile and report on data		X		X		X		X		X		

Data Quality Assessment		X								X		
IR 6.2.2: Number of reports or analyses on conflict issues												
Review reports/studies to determine if they meet data quality criteria	X											
Conduct "effective approaches" study		X	X									
Conflict vulnerability assessments	X											
Compile and report on data		X				X				X		
Data quality assessment		X								X		
IR 6.3.1 Adoption of formal Instruments for CSOs to affiliate with intergovernmental bodies addressing conflict												
Design data collection plan		X										
Review protocols and procedures	X											
Analyze and report on data		X				X				X		
Data quality assessment		X								X		
IR 6.3.2: Average number of CSOs attending networking meetings												
Develop data collection methodology		X										
Collect and report on data		X				X				X		
Data Quality Assessment		X								X		

Indicator and Activity	Episodic	FY 2004				FY 2005				FY 2006		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
IR 6.3.2: Number of network members with a CPMR website updated in the last 12 months												
Conduct survey of network members					X					X		
Review of data	X											
Compile report on results		X				X					X	
Data Quality Assessment											X	

ANNEX F:

Map of Targeted Conflict Zones

Annex F: Map of Targeted Conflict Zones



Annex G:

ACRONYMS

Annex G: ACRONYMS

ACTS	African Center for Technology Studies
ADOL	Action for Development of Communities
ADRA	Adventist Development and Relief Agency
ALDEF	Arid Lands Development Focus
APFO	Africa Peace Forum
BYDA	Bahr-el-Ghazal Youth Development Agency
CBO	Community-Based Organization
CECORE	Center for Conflict Resolution
CEWARN	Conflict Early Warning and Response Network
CEWERU	Conflict Early Warning Response Unit
CIFA	Community Initiative Facilitation Assistance
CMG	Conflict Management and Governance Office(REDSO)
CMG	Conflict Management Group (NGO)
COMESA	Common Market for Eastern and Southern Africa
CPMR	Conflict Prevention, Mitigation and Response
CPAF	Conflict Pilot Activities Fund
CQUICK	Conflict Quick Response Fund
CSO	Civil Society Organizations
CVA	Conflict Vulnerability Assessment
DAI	Development Alternatives International
DQA	Data Quality Assessment
EDC	Education Development Center
EAC	East African Community
ICT	Information and Communication Technology
IGAD	Intergovernmental Authority for Development (Horn of Africa)
IRC	International Rescue Committee
IQC	Indefinite Quantity Contract
ISGM	Institutional Strengthening and Grant Making program
ITDG	Intermediate Technology Development Group
FAN	Forest Action Network
FECCLAHA	Fellowship of Christian Councils and Churches in the Great Lakes and the Horn of Africa
FEWER	Forum on Early Warning and Early Response
FEWS-NET	Famine Early Warning Systems Network
FORDIA	Concern FOR Development Initiatives in Africa
GHAI	Greater Horn of Africa Initiative
GLEWN	Great Lakes Early Warning Network
HACDAD	Horn of Africa Center for Democracy and Development
ICT	Information and Communication Technology
ISGM	Institutional Strengthening and Grant Making Program
IR	Intermediate Result
LEAT	Lawyers Environmental Action Team
MAC	Managing African Conflict
MWENGO	Mwelekeo wa NGO
NGO	Non-governmental organization
MSI	Management Systems International
NGO	Non-governmental organization
NCKK	National Council of Churches of Kenya

NORDA	Northern Regional Development Agency
NPC	Non-Presence Countries
NSCC	New Sudan Council of Churches
OCA	Organizational Capacity Assessment Tool
PACT/MWENGO	Private Agencies Collaborating Together and MWENGO
PBP	Peace Building project
PELUM	Participatory Ecological Land Use Management Association
PEACE	Peace in East and Central Africa
PMP	Performance Management Plan
POKATUSA	Pokot-Karamoja-Turkana-Sabiny (NGO)
RCMG	Regional Conflict Management and Governance Team
RECONCILE	Resource Conflict Institute
REDET	Research and Education for Democracy in Tanzania
REDSO/ESA	Regional Economic Development Services Office/East and Southern Africa
RWN	Rwanda Women's Network
SO	Strategic Objective
UJCC	Ugandan Joint Council of Churches
UNDP	United Nations Development Program
UNESCO	United Nations Economic, Social and Cultural Organization
UNICEF	United Nations Children's Fund
URC	Unity and Reconciliation Commission
USAID	United States Agency for International Development
WASDA	Wajir South Development Association
WPDC	Wajir Peace and Development Committee
WSP	War-Torn Societies Project