

Kick Off Workshop

February 20th-22nd, 2017

Limuru/Nairobi, Kenya

Further strengthening capacities of CSOs engaging in POLICY DIALOGUE

Under the patronage of the



**AUSTRIAN
DEVELOPMENT
AGENCY**

and the Members of the Consortium 'Policy Dialogue'



Caritas
Austria



AUSTRIAN RED CROSS



HORIZONT
3000

Index

1. Introduction	3
2. Objectives	3
3. Insights and Outcome	4
a) Review and Outlook	4
b) Participatory Project Planning	6
c) Needs Assessment for Capacity Development	8
d) Video Production for CSOs on Policy Dialogue	10
e) Training Session on Communication Tools and Methods for Policy Dialogue	10
Appendix	12

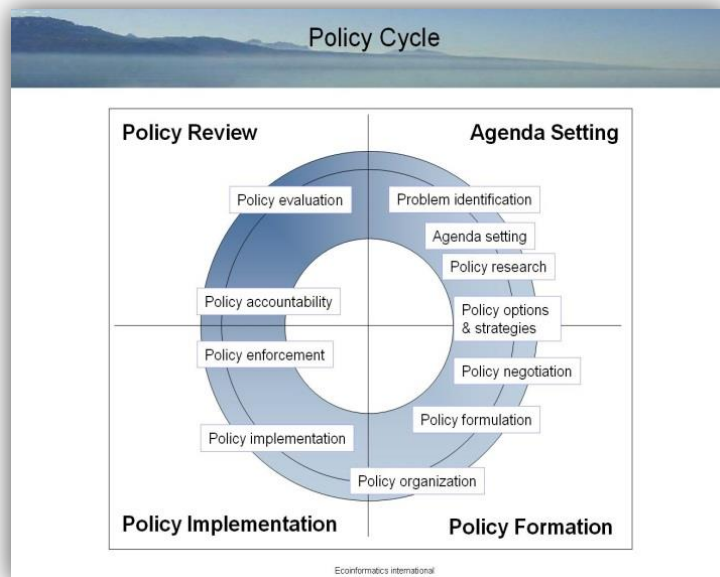


1. Introduction

From 2014 to 2016, a Consortium of 5 Austrian NGOs implemented a pilot project with the objective to strengthen capacities of East African NGOs regarding policy dialogue. In 2 years of implementing the project, 7 East African organizations were trained on policy dialogue, different tools and ways of engagement in policy dialogue, evidence based research and media engagement and implemented small action funds for policy dialogue.

The new phase of the consortia project, starting in January 2017 and ending in December 2019, will continue with and expand proven approaches and activities, providing tailor-made capacity development for East African CSOs, financial support of partner organizations for their policy dialogue engagement as well as capitalizing experiences and complementing and spreading recommendations. All local partner organisations of the present project are already engaged at various stages of the policy cycle and therefore offer potentials to increase their effectiveness in their policy dialogue engagement.

The Kick Off Workshop focused on the participatory planning of the new project phase in order to support the partner organizations engagement in Policy Dialogue within the project in the best possible way. It covered a session on the project logframe and its indicators as well as on the Small Action Funds for their Policy Dialogue initiatives. It also covered a needs assessment for capacity development in order to develop a capacity development plan for the new project phase according to the partner organization's needs.



2. Objectives

The objectives of the workshop were defined as follows:

- Participants get a clear picture of the overall project logic. Their perspectives are included in the planning process.
- The participatory needs assessment for capacity development facilitates the elaboration of a capacity development plan, taking into account individual, organizational and collective capacity needs.

- c) Participants are informed on the progress of the video production on CSO's engagement in Policy Dialogue and the video coordination team has a clear picture of how to proceed.
- d) Participants are trained on the topic "Communication in Policy Dialogue"

3. Insights and Outcome

a) Review and Outlook

After introducing the new project, the organizations within the consortia and the participants of the Kick Off, the workshop continued with a collective recapitulation of the first project phase. Experienced persons with the project and new persons to the project were asked to build exchange trios in order to discuss most important insights and learnings from the first phase and give "newcomers" the possibility to ask questions on the first phase.

A lot of **insights and learnings from the pilot phase** were gathered, among them:

- The project helped organizations to approach Policy Dialogue in a more systematic and conscious way.
- Policy dialogue is a process that requires the involvement of several stakeholders including community leaders, as well as a lot of research and the development of a baseline. When setting the agenda, it is important to invite all stakeholders and to understand local contexts. Communities are increasingly willing to discuss laws, and be involved politically. Public participation processes and the collaboration in networks and with other stakeholder is crucial, also for policy formulation.
- Sharing of knowledge and experiences at meetings, as well as cross-learning activities, were very useful, especially among organizations of the same country.
- Each organization within the consortia has different focuses but wants to achieve similar results. There is a need to set a common east African CSOs agenda, in order discuss this topic outside one's own boundaries.
- To learn from each other, it is important to understand each other's political context. This is crucial in order to understand how to achieve results with different government structures and how to use different approaches to have the same impact



- Copy-pasting of good practices between countries may not be possible or adequate, but insights from other's experiences should be adapted to the own country context (e.g.: women in parliament).
- It is a challenge to achieve results with very small budgets. Organizations have to think in working jointly with others, cooperate and share experiences, especially within one country.

As part of the recapitulation of the pilot phase, participants also had a look at the products that were elaborated by the consortia partners during that phase, such as:

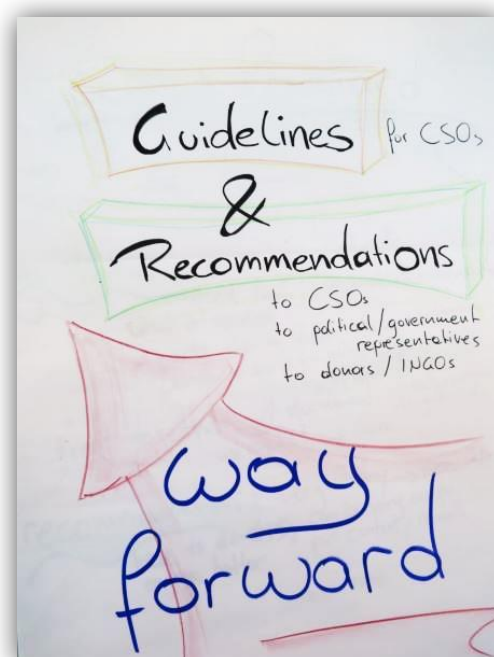
- The **Guidelines on Policy Dialogue for CSOs**, drafted by a working group of East African partners and commented by the Austria consortia partners – Annexed.
- The **Recommendations to CSOs, political/government representatives and to donors/ INGOs**, gathered in a World Café Setting at the Final Sharing Event of the pilot project in October 2016 in Kampala – Annexed.

It was emphasized that both tools constitute work-in-progress outcomes, for which a way forward should be defined in order to enhance their impact and support CSO's engagement in Policy Dialogue in a more effective way. Discussion on a possible way forward included the following aspects:

- The guidelines are treating the question of "what to do in Policy Dialogue"; while the recommendations are treating the question of "how to do it", and could be used to operationalize the guidelines and help to give guidance on how to follow them. Therefore they depend on each other and the recommendations could be used to add value to the guidelines.
- Also the policy cycle should be reflected within the guidelines and recommendations, by looking at each stage of the policy cycle and define the guidelines and recommendations that go with it.
- Having one document/product might be easier than having two, in order to facilitate its dissemination and reach other CSOs and stakeholders more effectively.
- At the same time, different country contexts should be reflected.
- The guidelines are addressing CSOs, but can also be useful for government/political representatives. Important also to see what is needed to add value to the guidelines. The recommendations are addressing different stakeholders, but need to be narrowed down to a few and focus on the most important.
- There needs to be room for the further development and discussion of guidelines and recommendations. The development process should be continuous.
- A meta-analysis of CSO engagement in policy dialogue (outside the consortia) could be helpful in order to analyse the weight of existing experiences and to have a certain baseline for the manual. This can be conducted, for example, through a survey monkey questionnaire.

Based on the discussion it was decided that a **working group** will further work on the guidelines and recommendations with the objective of synthesizing them and **develop a Manual for CSO engagement in Policy Dialogue**.

- It was decided that the working group should comprise one representative of each country. Collectively the following persons were appointed to participate in the working group: Matthew Rwahigi (Rwanda), Grace Matui (Tanzania), Joshua Ainabyona (Uganda) and Mamo Abudo Qido (Kenya).
- Terms of References for the Working Group are elaborated in March 2017. In the year 2017 the working group will define what the outcome should look like and how to achieve it (concepts). In the year 2018 the working group will implement the elaboration of the Manual and receive feedback from the consortia. In the year 2019 the Manual will be shared and disseminated.
- The Manual will build upon products and tools that already exist: the Policy Cycle, the Guidelines, the Recommendations, as well as other tools and documents on the topic, which still need to be identified by a desk research conducted by the working group.
- The working group will be in constant communication with the rest of the consortia partners to discuss their ideas and procedures.
- The outcome of the process will be shared not only within the Consortia, but beyond, with other CSOs and stakeholders.



b) Participatory Project Planning

In order for all partners to get a clear picture of the overall projects and key aspects, the project logframe was presented in detail and compared to the pilot phase. Afterwards Indicators were discussed in groups and in plenum, in order to facilitate an adequate project monitoring. Discussion was guided by the following questions: Is the indicator easily understandable, clear and realistic, is it SMART? What is the baseline for monitoring? Should anything be reformulated?

See outcome of the discussion below in red:

	Intervention logic	Objectively verifiable indicators of achievement (SMART)	Sources of verification
Overall objectives	Contributing to increased effectiveness of CSO engagement in policy dialogue / contribute to implementing SDG 16 and 17		
Specific project objective	Further strengthening capacities of East African CSOs regarding policy dialogue	OI 1.1 Influence of targeted CSOs on local or national development plans and other legal/ policy documents	number of documents produced, and also meetings of CSOs with policy makers/ policy influencing fora
		OI 1.2 Until end of 2019, at least 5 7 East African CSOs have successfully engaged in all 4 policy cycle stages. Comment: it is unrealistic / not the objective of all CSOs in the consortia to engage with equal success on all policy stages within only 3 years. But all CSOs in the consortia (7) will engage more successfully on various policy stages, and all 4 stages will be covered by the overall consortia. Alternatively or additionally: "Until end of 2019, at least 5 East African CSOs have aligned their Policy Dialogue activities to all 4 policy cycle stages"	project reports, dialogue reports, documentation of successful approaches/ good practices/case stories, (policy strategies and strategy monitoring documents)
		OI 1.3 at least 3 partners within the consortia project have established and strengthened partnerships for policy dialogue engagement until end of 2019	MoUs between partners, documentation on partnership meetings/ exchange visits
Expected results	R1. Capacity development and cross-learning plan for partner CSOs is developed	RI 1.1 Until April 2017, a plan for capacity development and cross-learning measures for CSO engagement in Policy Dialogue is available and agreed upon.	Source of verification: existing plan for capacity development and cross-learning

	R2. The ability of East African CSOs to engage in policy dialogue has been strengthened in their field of work	RI 2.1 until August 2017 at least 5 local partner organisations have their clear (written) strategy on how to engage in Policy Dialogue in their field of work Comment: what is meant by clear? If clear means “written”, it could be skipped. If it means “approved by the organization” it should be included. Additionally: It would be more important to emphasize that the strategy must not only be “clear”, but also implemented. If “and implemented” is added, the time-line must be changed/ prolonged.	policy dialogue/ advocacy strategy, documentation of strategy development (and strategy monitoring documents).
		RI 2.2 Each East African partner CSOs are is capable to use and hasve applied at least 3-1 new methods/ approaches for Policy Dialogue until end of 2019 Comment: “new method” must be understood as “new to the organisation”. Still, a clarification is needed what “new methods” could be (for example by elaborating a list of good and best practices). A “new method/approach” can be anything learned within the capacity development measures of the project that led to a change in the partner organization. As “new” must be understood as “new to the organization”, the indicator should refer to “each partner CSO”, instead of “the partner CSOs”. In total this means 7 organizations apply 7 new methods, instead of merely 3.	project report, documentation of policy dialogue activities, Action Plans for Learning filled out after Capacity Development measures
	R3. Recommendations/ guidelines for CSOs engagement in Policy Dialogue are further complemented and used/ applied	RI 3.1 At least 10 good practices and “ learning from failure/challenges ” examples of partner CSOs engagement in policy dialogue are documented and shared until June 2019. (Sources of verification:) Comment: Important not only to document them, but to capture their process; not only to share them, but to foster their application by others	Existing documents and their diffusion.
		RI 3.2 Recommendations for CSOs engagement in Policy Dialogue are shared with at least XX relevant stakeholders outside the consortia (donors, other CSOs in East Africa and Austria, government bodies, parliamentary committees, MPs, research bodies, etc.) until November 2019.	List of participants ta sharing events, publication and download of video and manual-in-progress
		RI 3.3 at least 10 organisations in East Africa and Europe use the guidelines/ recommendations for their work by the end of 2019. Comment: manual will be developed in the course of 2018, and shared in 2019.	feedback of recipients on use

The outcome of the discussions will be proposed to the Austrian Development Agency, either as a change in the formulation of indicators, or as a footnote in order to clarify unclear parts. This exercise was crucial for partner CSOs in order to understand the Logframe and to include their perspectives in the project logic.

After discussing the logframe, HORIZONT3000 presented and explained the project budget, as well as the monitoring procedures by the Austrian consortia partners and HORIZONT3000. Also challenges during the pilot phase were named. Among additional issues raised are the following:

- Participants claim, that **travel expenses (local costs)** in the framework of workshop and training participation should be paid in advance or on-site. After discussions back in Austria, we inform participants that travel expenses (local costs) will continue to be reimbursed by HORIZONT3000 after each workshop. International and collective costs (flights, airport pick-ups, etc.) are always paid by HORIZONT3000, local and individual costs (taxis, buses, etc.) are paid by participants or organizations (e.g. internal advance payment) and reimbursed afterwards. Any other procedure is too complicated and would result in disproportionately high administrative costs for the project.
- The **proposal template for the Small Action Funds** for Policy Dialogue initiatives per organization will be sent out in the second half of March 2017. Partner Organizations are asked to discuss their initiatives with their Austrian partners and finalize planning until the end of April. Templates will include guidance on eligible costs within the Small Action Fund budget. Administrative costs are eligible in reasonable relation to planned activities. Per partner(s) of each Austrian organization, a budget of EUR 54.200 is assigned to Small Action Funds (and cross learning – see below).
- Based on learnings from the pilot phase, Small Action Funds will also include **budget for cross-learning activities**. Activities can be determined at the beginning of the project or at a later point. Suggestions shall be withdrawn from the outcome of the Capacity Development Needs Assessment and discussed with the Austrian partners. Per partner(s) of each Austrian organization, a budget of EUR 5.000 is assigned to cross-learning activities.
- In some organizations **procedures for Small Action Funds** change compared to the pilot phase: CARE Uganda will give their local partners the possibility to propose goals and initiatives for Policy Dialogue in order to enhance commitment and willingness of partners. An expression of interest form is used for this bidding process and CARE Uganda will share their selection criteria with the Austrian consortia. SOS Tanzania will share budget with SOS Uganda in this project phase; Red Cross Kenya will share budget with Red Cross Rwanda in this project phase.
- Concerning **collective trainings and sharing events** organized by HORIZONT3000, guest learners shall continue to be invited and have the possibility to benefit from the project. Nevertheless, participants emphasized that the proportion to members of the consortia should be appropriate (e.g. not more than five guest learners, if consortia participants are around 15).

c) Needs Assessment for Capacity Development

The needs assessment for capacity development was facilitated by the consultant Carol Lintari, and enables the elaboration of the capacity development plan for the 3 years project. The process encompasses a full-day workshop at the Kick Off, a consultation process in its aftermath on Action Plans for Capacity Development elaborated by each partner organization, as well as the elaboration of an overall Capacity Development plan based on the insights.

The introductory presentation to the needs assessment (see ppt presentation attached) emphasized that capacity development and the process of assessing related needs must be endogenous in order to fulfill its purpose to the fullest. It also emphasized, that not only the individual and organizational level must be addressed by capacity development, but also the societal in order to ensure effectivity.

Participants were asked to look at their past and current Policy Dialogue engagement and **gather experiences, successes and challenges**, together with thoughts on what could have been done differently? See some of discussed issues below:

- PD is not the main working field of partner organization, but rather a complementary field to their work with their target groups.
- PD requires a deep understanding of the issues and causes as well as profound research (facts and numbers).

- PD requires time to be developed and does not always fit into a project. It is difficult to budget for it and to programme for it. CSOs need certain flexibility and also a passion to effectively engage in PD.
- The topic for policy dialogue should be specific, and building upon existing policies in the field is crucial. Also the timing for the promotion of specific topics is important.
- Engaging with local organizations and actors for Policy Dialogue is very rewarding. Through implemented initiatives some communities themselves became actors of Policy Dialogue. “Nothing about them without them”: The beneficiaries must be at the forefront.
- Cooperation with actors from the national level leads to better results. Building synergies with others is also important to broaden one’s voice on a particular topic.
- Confrontation and “pointing fingers” does not work well in Policy Dialogue. CSOs must understand political and government representatives as partners in order to achieve their objectives.



As **successes** in their organizations’ engagement, participants named for example: identifying the right champions – also within the government, promoting public participation and citizen engagement, building community awareness and capacity, ensuring media engagement and community involvement, improving PD initiatives through cross-learning activities, becoming more influential in political spaces through PD initiatives.

As **challenges** in their organizations’s engagement, participants named for example: political misinterpretation and misperception of CSOs by policy makers, limited access to information, missing engagement of crucial gate keepers because of cultural hindrances, limited financial resources – MPs require costly per diems, pressure on international organizations by governments, conflict of interest among stakeholders, time restraints – dealing with government takes a long time.

Responding to “**What could we have been done differently**”, the following measures were identified:

- follow the steps of the policy cycle
- involve all stakeholders from the inception phase on
- do profound research and monitor the process
- build partnership with policy makers and reduce confrontational advocacy
- build synergies with local and national organizations
- also do mentorship within the organisation (staff to staff)
- Use specialists when needed (e.g. policy drafting)
- Develop a risk mitigation plan
- Standardize “how to do PD” for your organization
- Find ways to join into meetings of political organizations
- Build a movement by promoting community discussions

- While focussing on like-minded, don't forget the „unlike-minded“ (gate-keepers)
- Learn how to budget for PD activities in order to respond to change

After having exchanged experience and having shared successes, challenges and solutions, partner organizations identified the main tasks, the main strengths and weaknesses, as well as the main capacities needed of/for their own organizations' PD engagement. This analysis built the ground for them to **develop Action Plans for Capacity Development**, which include the following information:

Priority Area	Objective	Indicator	Proposed Actions	Support Needed	Stakeholders	Responsible person	Timeline
Individuals within Organisations							
Institutional Needs							
Peers / Community Level (Other Stakeholders)							

Elaboration and improvement of the capacity development action plans, as well as synthesizing them in order to identify common needs is a process that was continued after the Kick Off. **Results will be shared once completed.**

One insight drawn from the Kick Off in general, and from the needs assessment workshop in specific, is that there prevails a **variety of different levels of PD engagement and PD needs** in the consortia. On the one side, there are new partners in the consortia, who feel the need for introductory sessions to a better PD understanding. On the other side there are new persons responsible for advocacy/policy dialogue and/or the project within organizations from the pilot phase, who also feel the need for accessing introductory/ basic PD knowledge to build upon. In order to **respond to this challenge**, two measures were already discussed:

- The implementation of re-fresher trainings on Policy Dialogue, combined with new and advanced learnings, such as PD strategy development and PD systematic approaches.
- The promotion of innovative and organization-centred capacity development measures, in order to avoid knowledge and capacity loss due to personnel turnover.

d) Video Production for CSOs on Policy Dialogue

The objective of the video-in-progress is the elaboration of a learning and awareness rising tool on the essential steps of a policy dialogue process in the context of East Africa. The video shall guide and train CSOs and their staff how to manage a successful policy dialogue process through all necessary stages with best practice cases. After recapitulating the key messages per stage (see ppt presentation attached), partner organizations were asked to determine their richest experiences regarding these stages. This will help the video coordination team to identify the best practice cases to be shown in the video. See flipcharts of these presentations on the next page.



e) Training Session on Communication Tools and Methods for Policy Dialogue

The Kick Off ended with a highly interesting and entertaining training session by Ahmed Idris from Kenya Red Cross on communication tools and methods for Policy Dialogue (see ppt presentation attached)

AGENDA SETTING

- GROOTS Kenya
- Project: Food Safety
- Main focus = Milk

Details & process

- Identification of the problem.
 - Outdated & unharmonised laws on food safety.
- Evidence update.
 - Community survey on milk production, milk handling and selling & consumption practices.
 - Desk top Reviews of the various policies.
 - Collaborated with relevant CSOs.
 - Multi-stakeholder engagement & meetings.
- Consolidation of output (facts sheets)
 - Policy ~~policy~~ options - Advocating for ^{Kenya's} ^{Ministry of Trade} ^{Ministry of Trade}

POLICY FORMATION

- MIDNET (MAMU)

Disaster & Emergency Policy for Marsabit

A draft is now in place, built using other existing policies. A working group composed of actors with stake in the disaster mgt domain.

- (Policy organisation) A bill is also being developed by the County Assembly - Draft bill
- 2 years have already elapsed and the process still ongoing

It is a tedious process (requires a lot of negotiation)

- Once the relevant stakeholders are engaged you are able to secure additional financial & technical inputs.

- RWANDA RCS (MATTHEW)

Disaster mgt Policy.

The process took over 3 years yet the setting of agenda was easier since it was an existing need for the new Ministry

Kenya (Case)
Alcohol Consumption
in Public Places
Regulation, Sale & Consumption
of Alcohol

POLICY IMPLEMENTATION

- Jane (SOS-UG)
- Access - project.
- Raising awareness & implementation of alternative care framework to ensure children live within their families
- Creation of Alternative Care working group.

KIZITO-DECE (MENGO)

Worked with one community in Mt. Elgon to claim for service delivery through boundary review.

Ronald (Care) + ^{ISI} ^{plans}
Worked with police to enforce implementation of alcohol ban in border district.

Robert (SOS) ^{Grassroots} ^{committee}
Dialogue meetings with local leaders on early forced marriages.

POLICY REVIEW

- Monitoring and evaluation of UNSCR 1325 - Developed policy briefs, fact sheets demand for implementation
- Analysis/review of the affirmative action policy.
 - Developed strategy to upscale women participation in leadership 2016 general election
- Land Act 2010
 - Policy brief on land - women property rights - Parliamentary engagement
- The Women Agenda
 - Used the Regional Political and women specific - 2016 campaign

strong Network, Coalition, alliances

Org: SOS Children's Village Tanzania

Country: Tanzania

Name of Project: 'Nigali' Media Policy Dialogue

Experience:

- Reviewed existing Policies strategies for children welfare
- "enforce" increase allocation for children (MVC)

Appendix

Appendix I Workshop Programme

Appendix II Guidelines PD for CSOs

Appendix III Recommendation PD to CSOs, political/government representatives, donors/INGOs

Appendix IV Presentation Carol Lintari: Capacity Development Needs Assessment Presentation

Appendix V Presentation Cyprian Nyamwamu: Policy Dialogue Stages in the Video Production

Appendix VI Presentation Ahmed Idris: Communication in Policy Dialogue

Appendix VIII Results of Survey for Event Evaluation

Participants List

Organisation	Name Participant
HORIZONT3000	Kristina Kroyer
HORIZONT3000	Elisabeth Moder
Red Cross Austria	Mathilde Köck
DESECE	Kay Quentin Mengo
DESECE	Emmanuel Kizito Nyongesa
SOS Children's Villages-Tanzania	Grace Matui
SOS Children's Villages-Tanzania	David Lyamuya
SOS Children's Villages-Uganda	Jane Kyokusiima
SOS Children's Villages-Uganda	Robert Bahenyangi
MIO-NET	Andrew Boku
MIO-NET	Mamo Abudo Qido
Care International Uganda	Ronald Matanda
Care International Uganda	Joshua Ainabyona
Care International Uganda	Elizabeth Katusiime
Rwanda Red Cross	Rwahigi Matthew
GROOTS Kenya	Jael Amati
GROOTS Kenya	Hannah Njoki Wachira
Facilitator	Carol Lintari
Facilitator	Cyprian
Technical Advisor/ HORIZONT3000	Mark Njafi
Trainer/ Kenya Red Cross	Ahmed Idris