

# Workshop Report

Nov 11th to 14th of 2019

Amani Gardens, Nairobi, Kenya,

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## Sharing and Planning Workshop Policy Dialogue Consortium Project



With funding from the



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## 1. Introduction

Since 2014, a Consortium of 5 Austrian NGOs led by HORIZONT3000 and involving the Austrian Red Cross, SOS Children's Villages Austria, Caritas Austria and CARE Austria, is implementing a project with the objective of strengthening capacities of East African NGOs in the field of policy dialogue. With funding from the Austrian Development Agency (ADA), the operational unit of Austrian Development Cooperation, 7 East African organizations were trained on different tools and ways of engagement in policy dialogue and implemented action funds for policy dialogue initiatives in order to support CSOs in promoting the interests and needs of marginalized populations in policy making processes.

The partner organizations involved in the project are: DESECE, GROOTS Kenya, Kenya Red Cross, Rwanda Red Cross, SOS Children's Village Uganda, SOS Children's Village Tanzania, MIO-Net, CARE Uganda and WORUDET. These organizations work in differing fields of action, including agro-ecology, civic education, women's rights, disaster risk management, first aid, children's rights, and others; but face similar challenges when it comes to policy dialogue. In the course of their learning and sharing processes, facilitated by the Consortium Policy Dialogue Project through trainings, cross-learning and follow-up activities, as well as the policy dialogue initiatives implemented by each partner, countless insights were generated, relevant knowledge produced and meaningful experiences exchanged.

In the sharing and planning workshop celebrated in November 2019, HORIZONT3000 and partners closed the second phase (2017-2019) of the project, looked back at the experience gathered, celebrated successes and learning from challenges, planned the upcoming phase (2020-2022), strengthened capacities for cross-cutting issues and discussed strategies to broaden the benefit of the project.

## 2. Objectives

The objectives of the workshop can be described as follows:

- Partners have recapitulated on previous Capacity Development measures and experiences from 5 years of project implementation.
- Partners have a shared understanding of key aspects of phase III and know how their SAF initiatives feed into the overall project design.
- Partners understand the benefit of conducting a gender analysis for their PD engagements and know what to consider when commissioning or carrying out the analysis.
- Partners have a clearer picture on how to consolidate their organizational PD capacities and mobilize for resources for their PD engagement.

For the level of achievement of set objective, refer to Annex I Survey Results.

## 3. Insights from the Training

### a) Recap session on previous trainings and Country Workshops

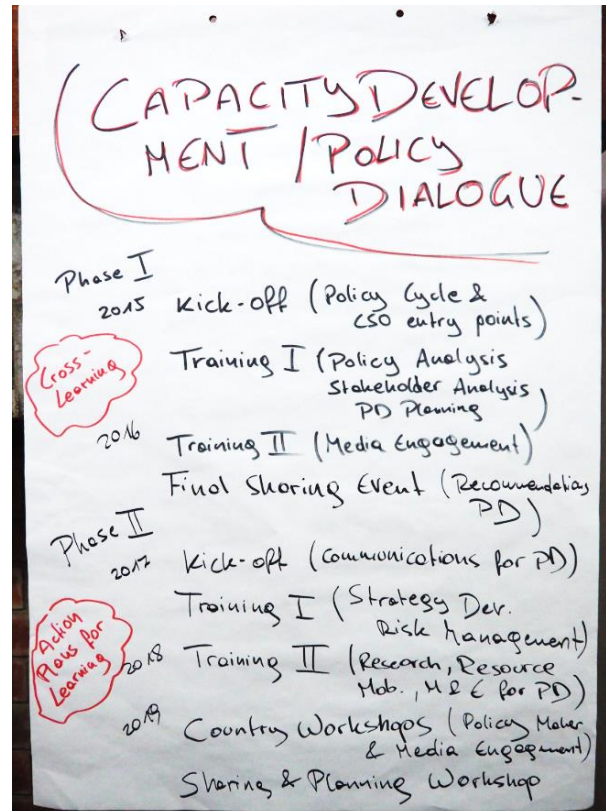
...facilitated by Cyprian Nyamwamu

In order to recapitulate previous training contents and inform participants, who have not participated in all activities on what was done previously, a world café setting was applied. On various tables participants could discuss contents and inform themselves on the available learning material.

The main insights, shared in plenary on previous workshops were the following:

**1. Training I 2017 Kampala – PD approaches, strategy development, risk management**

- Approaches: PD is no standalone activity but should be integrated in programming; a scale approach means to make PD an organizational issue; each organization should envision an organizational approach as much as possible for continuity and sustainability of the engagement;
- Strategy: in order to have a roadmap on PD/ a framework for delving into PD, it is of high importance to have a strategy in place; within the project, almost all organizations developed a strategy, which is based on the learning from the training and the project in general; The strategy must be implemented and budgeted for in order to be of use;
- Risk management: there are strategic risks and operational risks, which should be analysed and rated in a risk register; risks and their mitigation and management measures need to be monitored and reported on;
- Multiplication: it is important to multiply the learnings from trainings within the organization in order to achieve an institutional approach to PD; participants of trainings have a commitment towards their organizations and need to work actively on getting the buy-in of leadership;



**2. Training II 2018 Nairobi – Research, Resource Mobilization, M&E**

- Evidence Generation: Important to look at the need and the aim of generated data: is it for learning, for monitoring, for validation, for advocacy, etc.; Greatest challenge in evidence generation is not access to data but the question how we are packaging and using the data; It is crucial not to withhold information; data and findings should be used to establish partnerships; It is important to use real time data and apply participatory and action research methods: work with champions, encourage the communities to use what they have and know; research is not just about studies and should not be too academic; Challenge of restricted access to protected data: need to identify focus persons in the system;
- M&E: crucial for accountability towards donor, but also towards community and different kinds of stakeholders; crucial also for learning;
- Resource Mobilization: Is not only about financial resources, but also about other resources (time, human, relationship, contacts,...); Strategies to access funds from government: MoU w/ government, resonate with government agenda, MoU with likeminded organizations, clear positioning,...
- Guest learners: Involving guest learners from other organization was always beneficial for the trainings, both for consortium and for guest organizations

**3. Country Workshop Kenya and Uganda 2019 Nairobi and Lira – Policy Maker engagement Media Engagement, Networking**

- Media: the involvement of media representatives paid off, as CSOs used the space to directly engage them during the workshops; Learnings: often there is need for strengthening the capacities of media houses and journalists on the subject of advocacy, also it can be relevant to get out of the traditional media spaces and find innovative ways to engage media (importance of social media);
- Media can be expensive, this is why CSOs need to market themselves and their message they want to share and disseminate → if the message is clear and of relevance, media will be interested in coming to CSOs in their own / if you have a strong message and are an expert on a certain topic, it will attract the media; so: be news-worthy; In this regards building coalitions for media engagement and bringing voices

together can be crucial; also note that media does not only do headlines, it is therefore important to know how they work and what they are interested in; mostly it is not about the money;

- Government: the involvement of representatives from government institutions paid off, as the workshops involved very good speakers; Learnings: you need to know how government operates and be prepared for each interaction, e.g. know all the relevant policy papers; also informal meetings can be used to establish institutional partnerships, along with short but constant contact e.g. by sharing a sms, an e-mail,...; consider the government planning cycle and invest in technical persons, different to political persons, they may remain in office for longer periods, also they are responsible for briefing the decision makers, nevertheless, do not forget courtesy calls to MPs etc.;
- The workshop helped to understand that - although different stakeholders start from different perspectives - they can come together to work on a common problem; it also helped in illustrating the importance of coalition building and networking within the respective countries.

Kristina highlights, that all training reports as well as an abundance of additional training material is accessible on the KNOW-HOW3000 Internet Platform: [www.knowhow3000.org](http://www.knowhow3000.org); once logged in, use this link: <https://knowhow3000.org/en/hr/cop/cop-consortium-policy-dialogue>. For persons already registered to the platform, please see Annex II, if facing challenges. For persons who would like to be registered, please contact: [km@horizont3000.at](mailto:km@horizont3000.at).

## **b) Experience Sharing on Small Action Funds and PD Strategies**

...facilitated by Cyprian Nyamwamu

Partner organizations presented and discussed the following questions:

- WHAT did you do? Outline your PD intervention of the last 3-5 years of project implementation
- WHAT worked and what did not work very well? Give an overview on successes but also on the main challenges, you faced
- HOW did you go about your PD initiatives use resources gained through the trainings and cross learning? Reflect on your PD strategy developed in that time and inform inasmuch how the trainings and cross-learning within the consortium project helped your organization in engaging in PD;

For the power-point presentations of partners, see Annex III. CARE Uganda additionally shared a video they have developed for media engagement purposed. Once finished they will share it with partners.

Some common challenges in PD engagement mentioned by various partners:

- Insufficient resources
- Change in duty bearers
- Time intensive policy processes
- Regular need for refreshers and cascading knowledge within the organizations
- Deferring political interests
- Tracking advocacy impact consistently
- High sitting allowances for government engagement
- Long adoption processes of bills, especially if there are hidden agendas or conflicts within the decision makers

Some common successes in PD engagement mentioned by various partners:

- Effective networking and coalition building
- Empowering communities through Small Action Funds (e.g. through ToTs)
- Cooperation agreements (formal and informal) with ministries and departments
- Institutional Capacity building
- PD strategy development
- Getting management on board through cross-learning activities
- Sharing knowledge with other staff
- Risk minimization through partnership

Some of the main learnings mentioned by presenters and highlighted by facilitators:

- Celebrating Successes and showing them by telling stories (rather than listing activities and numbers) is very relevant for CSOs and undervalued many times; as example for a method to value successes of an organization, the appreciative inquiry method is mentioned;

- “Policy dialogue is about bringing a smile to the faces of people” → the essence of why we are engaging in PD shall not be hidden, but rather showed publicly. “Celebrate the power of humanity” → bringing people together and learning from each other is key for PD;
- Importance of using data effectively (use baseline data for position paper, policy briefs, share broadly, etc.) and of establishing interlinkages of different levels of policy making (interlinking local level to national and global level), these linkages in evidence generation and other PD areas is critical and should be supported by cooperating with others to fill gaps of own capacities (cooperate and establish networks for levels not reached by individual organization);
- There are excellent policies, but non-implementation is a huge issue; communities and lower levels play a crucial part in monitoring and achieving transformation;

### c) Q&A w/ ADA

...facilitated by Kristina

Participants were asked to build exchange quartets with at least 1 Person who has worked with the project since phase 1, maximum 1 person per organization, at least 1 woman and at least 1 man. They were asked to look for something they have in common and give themselves a name (see picture)

Afterwards they were asked to discuss the following questions:

- What were the most important learnings in the projects on individual level?
- Give examples of developments at organizational levels due to the project.
- Give examples on how knowledge generated within the projects was shared within the organizations.
- What is the added value of the consortium constellation of the project?

The following answers were presented, discussed and complemented by others:

#### 1. Most important learnings on individual level:

- The 4 stages of the policy cycle helped to develop agenda and analyse entry points
- The dialogue approach for policy engagement where we engage different kinds of stakeholders
- The importance of building synergies and exchanging experiences with likeminded people and organizations
- PD requires patience and endurance to see success
- Importance of involving beneficiaries in PD
- Communities already do PD without knowing, CSOs support in formalization and documentation
- Media engagements helps us move far

#### 2. Examples of developments at organizational levels.

- Development of PD Strategies, shaping advocacy and governance in the organizations
- Higher consciousness on risk management: programs now considers risks and plan for mitigations
- Strengthened institutional capacities and confidence to engage at different policy levels
- Better documentation and procedures
- Gained soft skills empower people sustainably
- Improved partnerships, visibility and recognition of our work
- Capacities motivates other NGOs to support us: securing funds



### 3. Examples on how knowledge was shared within the organizations

- Integration of knowledge into new projects and programs
- ToT training to cascade the knowledge
- Dissemination of training materials
- Training of people we work with
- Cross-learning activities
- In-house sharing in meetings, involving all staff, also from other departments
- Share learning within networks
- Development and sharing of documentation and write-ups

### 4. What is the added value of the consortium project?

- Diversity of NGOs and areas of work
- Shared experiences and knowledge across the region
- Created opportunities for networking and sharing,
- Social capital development of organizations
- Increased capacities and skills of PD
- Reaching policy reforms changing community life
- Improved visibility of organizations
- Tapping into the different expertise of partners in the consortia.

Andrea Schmid, representative from the ADA, informs participants on the thematic priority areas of the ADA, which are: fighting poverty, environment, peace, gender (increasingly important), environment and climate change; other important topics are risk management and anti-corruption. Andrea also emphasized that it is good to see that the project is not only about engaging governments and communities but also supports organizational development at the partners.

Participants express words of appreciation to the ADA for supporting this project. Through this project, the organizations and communities have become very powerful and realized the power and capacities they had in shaping policy frameworks (“I realized that we have a lot of resource-people around us like women’s groups, male engagement groups”). CSOs see the need for more engagement and are looking forward to continue the initiated networking and exchange; strategical approaches and a strong involvement of local structures and communities, are even more important in contexts of high political risks.

They also address acknowledgment of ADA for continuous support also in other contexts, e.g. emergency support in northern Kenya, enabling gender programming in Uganda, etc. Partners also stress the importance of using the engagement to influence critical processes (“we are all champions now, if you are on the right track, you need not to fear”). They also highlight, that policy dialogue and advocacy is especially important in since devolution.

## d) Preparing Phase III – Evaluation

...facilitated by Kristina

Kristina presents the recommendations and how they were approached by Austrian consortium organizations. Based on these discussions a management response was worked out, which is shared with partners. Below the discussions on some recommendations are summarized.

### 1. Consider increasing funding to human resource positions to enable the partners to engage effectively in PD under the SAF

Participants state that this was a challenge for many organizations due to small budgets. It is highlighted that the project must be understood mainly as a capacity development project: The project can be used to test approaches and methods, to establish networks and relationships, and also to strengthen capacities in order to achieve greater resources. Being focused on CD and involving many organizations, the project is not

primarily about big partner funds. However, based on the project, some organizations could already achieve greater funds and partner up with others to learn, cooperate and even to merge funds. Considering that some donors and many projects don’t budget for capacity building, the project should be appreciated for what it is and not criticised for what it simply cannot provide.

## Recommendations Phase II

## Recommendations Phase III

Fast track expenditure of the SAF on actions that contribute to project objectives	Close budget tracking and monitoring by AUT and EA partners	Official role of KRCS in provision of consultancy services for phase III	<ul style="list-style-type: none"> <li>- Embedded in proposal and considered in budget</li> <li>- Needs matching day 3</li> </ul>
Minimize any more delays in financial disbursements	Close communication between AUT and EA partners	Individualized support and coaching/ mentorship on implementation of skills	
Consider increasing funding to human resource positions to enable the partners to engage effectively in PD under the SAF	Considered in Phase III (Guidance on SAF proposals)	Well-structured cross learning activities; map strengths and opportunities for learning within each partner	
Continued pursuit of ongoing legislative and policy frameworks	<ul style="list-style-type: none"> <li>- Done within SAF</li> <li>- Close communication</li> </ul>	Support EA CSOs develop appropriate indicators to measure progress in advocacy work	<ul style="list-style-type: none"> <li>- Indicators on SAF level</li> <li>- M&amp;E for PD to be considered in Learning Measures → day 3</li> </ul>
Prioritize finalization of PD strategies	<ul style="list-style-type: none"> <li>- Sharing together with annual report</li> </ul>	Implementation of the PD manual	<ul style="list-style-type: none"> <li>- Included in overall proposal and SAF</li> <li>- Further discussion → day 3</li> </ul>
Finalize and disseminate the PD manual	Finalization done, dissemination after validation and design	Include an exit strategy when designing phase III	<ul style="list-style-type: none"> <li>- Resource Mobilization for PD emphasised in Phase III</li> <li>- ISD approach → day 3</li> </ul>
	Focus on institutionalizing and consolidating achievements of phase I and II		<ul style="list-style-type: none"> <li>- Included in proposal</li> <li>- Discuss with participants</li> </ul>
	Establish proper documentation for all learning materials for ease of reference (each partner)		
	CSOs should delve into mapping potential data sources and networks for information sharing, and establish databases	<ul style="list-style-type: none"> <li>- To be considered on the SAF level</li> <li>- Discuss with partners</li> </ul>	

### 2. Support EA CSOs develop appropriate indicators to measure progress in advocacy work.

Participants state that it is important to involve the organization's M&E staff if possible, while also considering that advocacy projects differ from other service delivery projects. For good M&E, there is need for a baseline. However, it is highlighted that within the PD SAF a focus on pro-

gress indicators is appropriate, e.g. when it comes to attitude change at stakeholder level (qualitative progress indicators). On the other side, indicators can also build upon the basis of research and evidence generated for PD engagement.

### 3. Focus on institutionalizing and consolidating achievements of phase I and II

Participants state that there is need to develop action plans for management and directors to get their buy in for mainstreaming PD within the organizations and programmes. It is highlighted that institutionalization only works if board and leader-

ship is being brought on board. This requires sensitization and awareness creation, takes time and constant interaction (internal lobbying) done by PD project staff.



**4. CSOs should delve into mapping potential data sources and networks for information sharing, and establish databases**

Participants state this is partly already done (e.g. example GROOTS Kenya, who is developing a database on relevant policy topics in cooperation with other actors). It is highlighted, that we should create tools that enable us as CSOs and the communities to collect data during meetings and field visits, as there is always need for evidence

for us and our stakeholders in order to get their trust and buy in. It is also mentioned that data sources can help us legitimate our advocacy actions (or hinder the same, if not trusted). This is why it is crucial to reflect about sources and co-operation partners in this field.

**a) Preparing Phase III – Logframe**

After discussion of evaluation recommendations, the Logframe of Phase III is discussed. (see Annex IV)

Kristina presents the objectives and expected results of phase III. Activities and Indicators are handed out to participant groups, who are asked to discuss on each activity/Indicator:

- Do we understand the indicator?
- Where does the activity/indicator belong within the Logframe (which result or objective)?
- How does our Small Action Fund Initiative feed into the indicator?

In plenary the LogFrame is complemented and discussed by all participants. Some main insights from that discussion are the following:

- Distinguishing between indicators on result and specific objective level: Result level → reporting annually on result indicators, keeping track, indicators we can measure and count regularly; Specific Objective level → mostly qualitative, will be measured and validated in external evaluation;
- Indicators that involve multiple components: should be split when reporting whenever measuring different things. Also we should develop, share and agree on operational definitions for the indicators;
- Interlinkage of overall project level and SAF: SAF feed into overall Logframe throughout R1 and R2 → Activities for R1 and R2 are formulated based on common areas to all partners (EA and AUT); indicators for R1 and R2 are formulated based on to what all partners (EA and AUT) are expected to contribute.
- Focus Phase III: Emphasize on institutionalization and on dissemination and sharing beyond the consortium → resource persons from consortium partners, manual, etc. Based on benefits drawn from learning and sharing in phase I and II, this shall be expanded to other CSOs. Importance at partners to remain open for sharing their knowledge and help others to strengthen capacities.

**b) Gender – What is gender (analysis)?**

...facilitated by Janepher (CARE Uganda) and Claire (CARE Austria)

In the Gender part of the workshop we treat the following questions:

- What is gender?
- Why is gender equity important in all types and areas of PD engagement?
- What is gender analysis and why do we need it in programming?
- How can a Gender Analysis be conducted? What needs to be considered?

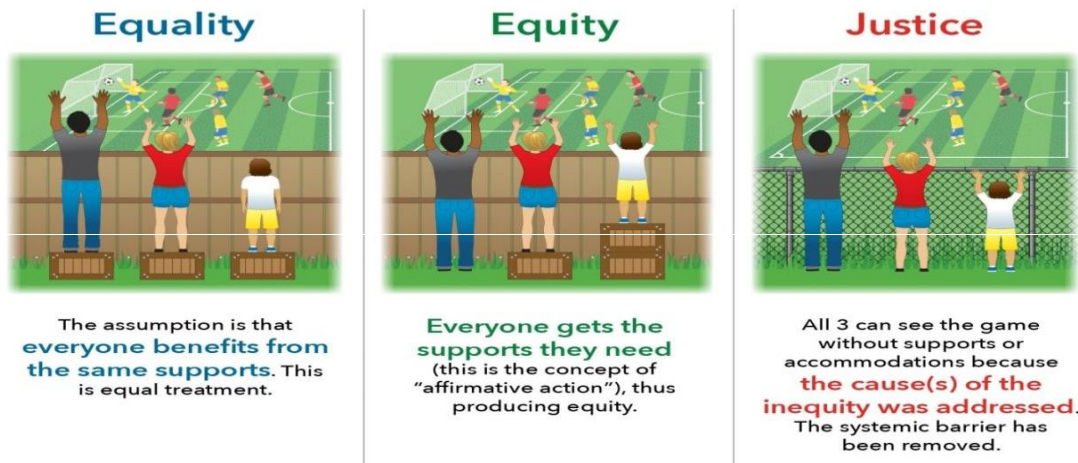
The presentation and practical exercise material are attached in Annex IV.

**Clarification of terminology and concepts:**

- **Gender:** Socially constructed roles, expectations of men and women
- **Gender equality:** ensure that men and women are at the same pace and have equal opportunity (assumption that everyone benefits from the same support)
- **Gender equity:** fairness, inclusion between men, women, boys and girls (Everyone gets the support they need - concept of affirmative action)
- **Gender justice:** correcting the inequality between men and women (addressing systemic barriers)

- **Gender Integration:** systematic process of ensuring the respective needs, interest, priorities of men and women, girls and boys; this and gender analysis work hand in hand.

Note: Important to recognise the diversity when working with gender and other cross-cutting variables that subject one to vulnerability e.g. age, ethnicity, religion,...



**Context of the Gender Focus in the PD project:**

OECD GENDER MARKER

- 0 Does not target gender equality
- 1 GE is an outcome not a principle reason to undertake the project
- 2 GE is the overall objective

ADA Requirement: Gender Marker I

- = Gender Analysis
- = Sex –disaggregated data
- = Gender integration (design)
- = Gender expertise
- = Steering measures for equal benefits

**CARE Gender marker/ Gender continuum: self-assessment tools scales/grades 0-4**

0-	Gender Harmful: sustained traditional stereotypes and inequalities
1-	Gender Neutral: Approaches or activities do not actively address gender stereotypes and discrimination
2-	Gender sensitive: activities recognise and respond to different needs
3-	Gender Responsive: Program approaches help men and women examine societal gender expectations
4-	Gender transformative: Approaches or activities build equitable social norms and structures

**What is a Gender Analysis?** Gender analysis is a **systematic effort** to identify key factors perpetuating inequality, injustice and poverty based on gender and other social characteristics.

**Why do a Gender Analysis?**

- Informed realities through research
- effective and sustainable programming
- Address root causes
- Being accountable to our beneficiaries
- Build evidence for advocacy purposes

**Gender Analysis Pyramid:**

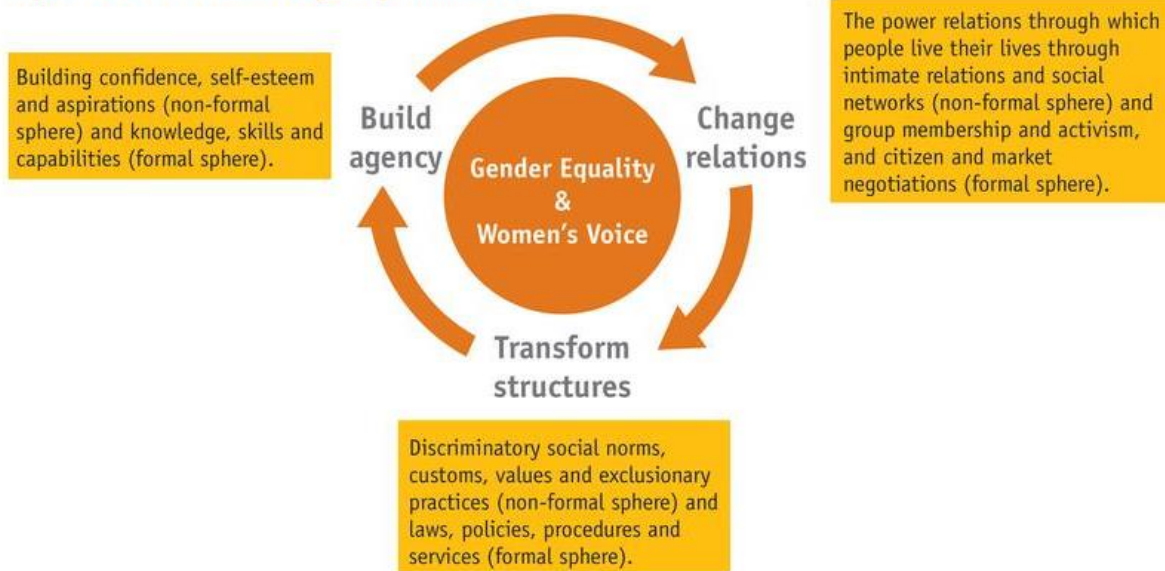
- A – Preliminary foundations –Existing structures, soci-cultural practices, policies, etc in the area you plan to intervene.
- B – Core areas of inquiry – gender gaps/ division of labour, access, control and ownership of resources.
- C – strategic issues – operationalization/ integration of new learning



## Gender Equality Framework

Care's tool for establishing issues and designing interventions:

Figure 1: CARE's Gender Equality Framework



### Summary Notes on Gender in the PD Project:

- Gender Equality – Gender Equity – Gender Justice → **PD should always aim towards Gender Justice:** everyone should be able to access their rights from where they stand
- CARE Gender Continuum → **all PD projects must at least be gender sensitive**, and if possible, even responsive or transformative
- All SAF must consider gender (analysis and integrating programming) → **level of consideration of other kind of vulnerabilities depending on the topic**, e.g. in some areas and on some topics (DRM,...) ethnicity is an important factor to consider, in others, sexual orientation may be of high relevance (GBV,...), in others: children, age, people with disabilities,....
- **Gender Analyses in the project are approached differently by the partners** → either undertaken by staff or an external expert, approach depends on internal capacities/ expertise, volume of the SAF,...
- **All partners must send a concept on how to approach the analysis** following the model discussed in the workshop (instead of Learning Action Plan) → concept can then be used as basis for ToRs for consultant, or basis for action by teams
- **Thinking ahead on how you are going to integrate the findings** → not only after conducting the analysis, but already when designing the analysis

Discussion on support needed by partners to feel comfortable with carrying out gender analysis:

- Need for reference notes → Note Kristina: we do not want to overwhelm partners with too many documents; focus on what is needed, appropriate to the size and shape of the Small Action Fund; material used during the workshop will be provided
- Feedback to ToRs, especially where a consultancy will be commissioned → Note Kristina: will be provided by HORIZONT3000 and CARE Austria
- Possibility for further consultation in the process → Note Kristina: will be provided; concrete measure (e.g. need for learning/ consultancy activity, etc.) will be decided in consultation with HORIZONT3000

Statements participants:

- "We should continue practicing gender analysis to make us better"
- "We feel good with integrating gender into PD"
- "We will do our best to integrate gender into our interventions"
- "We will need support in the undertaking"

### **c) PD Manual Validation Session**

...facilitated by Cyprian Nyamwamu

The facilitator presents chapter 1, 2, 9, 10 and 11 to the group:

Introduction/ Why the PD Manual

- a) To facilitate value for money and aid effectiveness which is necessary for impactful programming and interventions in the developing world;
- b) To popularize and enhance the use of the Policy Dialogue approach to development administration and initiatives;
- c) To help technical staff at CSOs, trainers, and researchers on Policy dialogue to understand this approach and widen and deepen its understanding;
- d) To aid partnerships in development at the local level which is necessary for enhancing resource mobilization and sustainability of investments and programs;
- e) To share findings from the initial and successive Policy dialogue workshops and learning sharing

Conceptualizing PD

- a) Policy Dialogue <> Policy Advocacy: Policy Dialogue is a philosophy/approach while advocacy is a strategy embedded within the approach; Policy dialogue can also be initiated by the government;
- b) CSOs approaches to PD: Project scale, Organization strategic scale of PD; importance of strategy for engagement and reflection on roles and ways of engagement
- c) Policy Cycle and entry points (opportunities) a) Agenda setting, Policy formation, Policy Implementation, Policy Review

The facilitator appoints 7 panelists for the other manual sections. Their groups read through their sections and present the most important insights concerning the following questions:

- Are we now comfortable to validate and adopt this PD Manual?
- Is anything massive missing?
- How shall/ should we disseminate- who should get the PD Manual?

Comments and proposed adaptations are directly integrated into the manual by Kristina. The panellist additionally have the task to go through the manual after the workshop and check for appropriate language in each section, especially on sensitive issues regarding relationships with the government.

The following is discussed and decided concerning the dissemination of the PD Manual:

- We are going to share the manual within our organizations, but also go broader by collaborating with media and universities
- The manual shall be publicly published because it is good and we can be proud with it
- The language is simple enough for grassroots organizations
- The manual, or at least some parts should be translated into other languages
- Templates should be added also as an annex for easy use
- Some organizations already foresee to develop a popular version of the manual; any version developed by partner CSOs should be shared with the whole consortium for inspiration and use
- All logos and names will be put in the final document to foster ownership of the manual by all partners
- The manual can and shall be used for training purposes
- We should develop a poster of the manual for didactical purposes
- We will use the manual to bring senior management and other programme staff on board for PD

### **d) Cross-Learning in Phase III**

...facilitated by Kristina

Participants gather in organizational groups and cross-check their Capacity Development Action Plans from Phase II and their strengths and areas of improvement formulated in preparation of phase III. If needed the strengths and areas of improvement are updated/ complemented.

Matching in a market place setting

- Each organization has a “market booth” to sell their strengths – 1 person stays at the booth as “seller”
- Each organization wanders around and checks out the other booths, discussing their needs and what they have to offer to others – 1 persons wanders around as “buyer”
- If a capacity need cannot be addressed with expertise within the group, buyers are also encouraged to ask around on who else could step in/ has needed expertise outside the consortium

Reflection in plenary setting:

- what have partners found out about strengths and weaknesses at themselves and others?
- which matches for cross-learning or needs for external expertise were identified?
- were there major common needs at partners that should be addressed collectively?

Organization	Learning/ Capacity need	Potential Learning partner/ knowledge provider
GROOTS	KM Research	KRCS Hakimani
Hakimani	M&E Resource Mobilization and Communication	KRCS, ROEA PACIDA, KRCS
CARE	Media Coalition Building Working with Government Research and Documentation	SOSTZ, DESECE KRCS, PACIDA SOSUGA, GROOTS, KRCS Hakimani
PACIDA	Information Management/ KM Gender Analysis M&E Community Score Card	KRCS CARE Uganda SOSTZ, ROEA CARE
DESECE	Resource Mobilization M&E, Risk Management Gender Analysis	PACIDA, SOSTZ ROEA CARE Uganda
KRCS	Evidence based advocacy	SOSTZ, GROOTS
SOSTZ	KM Research	KRCS Hakimani
WORUDET	M&E, Risk Management	ROEA
SOS UGA	Media	SOSTZ

As the collective needs the following were identified:

- Knowledge Management (expertise within the consortium: KRCS, HORIZONT3000)
- Monitoring and Evaluation (ROEA, SOSTZ, KRCS)
- Research and Evidence Generation

Next steps (first half of 2020)

- Partner are going to plan cross learning activities in coordination with HORIZONT3000
- Insights on collective needs are going to be considered in the overall Capacity Development plan

**Reminder on the possible types/ modalities/ settings for Cross-Learning:**

- Exposure/Learning visit → learning organization visits expert organization
- Mentoring/Coaching visit → expert organization visits learning organization
- Distance Coaching → long(er)-term process with regular (virtual) interaction and feedback loops
- Sharing Events → experience sharing in workshops

Purposes of all methods above: Learning, benchmarking, strengthening staff and organizations’ capacities, institutionalization of PD

## **e) ISD – Inclusive System Development Approach**

...facilitated by Petra and Kristina

Petra gives an introduction to the Inclusive System Development Approach and why we pretend to apply it in the project via skype and participants have the possibilities to ask questions and share their impression on and assessment of the approach

The presentation is attached in Annex VI.

Kristina explains that with an ISD analysis in the policy dialogue project, we intend to focus the system around capacity development for policy dialogue engagement in one of the project countries:

- The system is presented as prepared by the Austrian consortium members and participants are asked, if there is something missing, or if there are any misinterpretations. Participants complement the system (see picture of system below).
- Participants group in country teams and analyse the following questions: who performs or funds functions in the system (yellow cards)? who sets or influences rules (green cards)? This exercise is carried out as if the PD project would not exist, as the project will not remain until forever (see below for Kenya and Uganda) [*The documentation for Tanzania was lost, sorry!*]
- Participants discuss the following key questions: If there are so many actors influencing and shaping the system, performing functions and setting rules for the system to work, why is it nevertheless not working? Which key functions and key rules are underperforming and why? Why has a more inclusive solution for the benefit of CSOs not emerged within the system without project intervention? (see picture of system below: main constraints are highlight with a flash symbol).

The following constraints are identified, why the system is not working:

- ➔ External influence: no ownership of local actors for the topic (donor trends)
- ➔ Demand and supply do not correlate: e.g. research institutes miss the grassroots perspective
- ➔ Beneficiaries/communities do not have the capacity to ask for capacity development and/or don't know that they need PD, as they don't see the advantage of having written rules
- ➔ Lack of vision and understanding of added value of PD capacity development at CSOs
- ➔ Lack of competition among actors who supply CD
- ➔ Lack of self-confidence among suppliers: NGOs are not aware of or do not "sell" their capacities and expertise in PD
- ➔ Institutionalization does not work: missing structures & organizational mindset
- ➔ Lack of resources to buy capacity development (especially internal funding)
- ➔ Lack of interest from politicians for policy dialogue to take place: different/competing ideologies within the system on PD and CD

### **Next steps (in the course of 2020):**

Carry out an ISD analysis with international and/or local experts in one of the countries (If KRCS plays a role – as they have experience with ISD – the country to carry out the analysis will probably be Kenya)

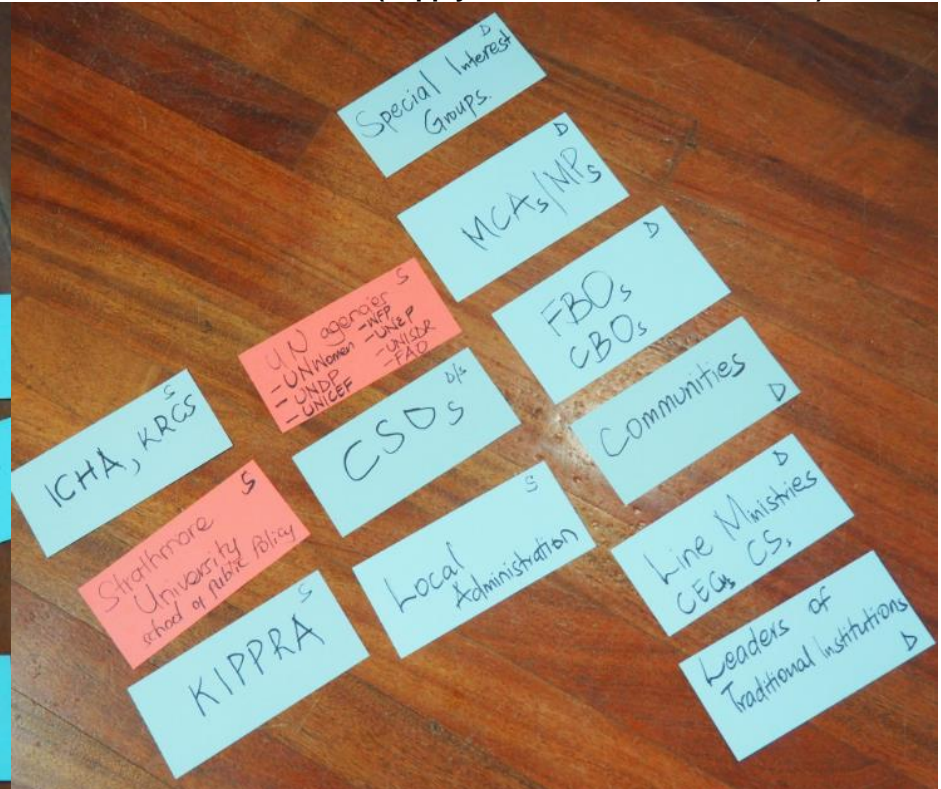
Partners and all kind of other relevant stakeholders will be included in the analysis to provide information, share their perspectives, give their assessments,...



STAKEHOLDERS UGANDA (supply and demand side and both)



STAKEHOLDERS KENYA (supply and demand side and both)





## f) Resource Mobilization

...facilitated by Sarah Nduku

The presentation is attached in Annex VII.

The facilitator starts the session with a game:

- Come up with as many resource mobilisation activities as possible
- Select 10 most important actions
- Rank them according to importance and ease of doing the action
- Multiply the difficulty and the importance to have a ranking
- Go around the card for the number of times needed to collect the card
- Collect cards and return them to the base



In plenary we gather what we learned from the game:

- The higher the risk, the higher the return
- There is competition when you are looking for resources
- For you to have success, you need to work as a team
- You need to invest to have success

Resource Mobilization activities ranked 1-4 by groups

- Formalize your engagement (registration, certification)
- Social media fundraising
- Attracting volunteers
- Mailing (mailing lists to individuals asking for donations);
- Subscriptions/ Membership Fees
- Project Proposals
- Benchmarking (learning from others)

Resource Mobilization activities ranked 10 or higher by groups

- Trainings (e.g. organize trainings on trending topics and charge for them)

- Strategize is key before you run for resources: plan and be patient
- Small and small makes a bundle: you can go for small things with ease and also reach high numbers
- Understand the rules before you run

- Corporate events, competitions (sponsoring by bring in media/ give sponsors visibility)
- Partnerships with corporates
- Resource and asset mapping
- Internal fundraising
- Community mobilization; Harambee (individual donations on a specific topic)
- Renting out conference / or other facilities (only rated low, if facilities already exist)

- Provide consultancies (needs a high level of expertise, proven track record, social capital,...)

- Lobbying/ Campaigning (present and share your work, e.g. by holding donor conferences for visibility)
- Establish human resources for resource mobilization
- Social business (profit oriented social services that are charged)

Note on social businesses: they can also be exit strategy, if established with or anchored in to communities; if they are meant as resource mobilization strategy for CSOs they need the establishment of profit making entities, and can also be combined with credit services

## Why Resource Mobilization?

- RM is needed for organizational sustainability, or even self-sufficiency
- RM includes time, human and financial resources, technical expertise, relationships
- We mobilize inputs in order to achieve outputs
- We mobilize resources in order to be able to mobilize more resources

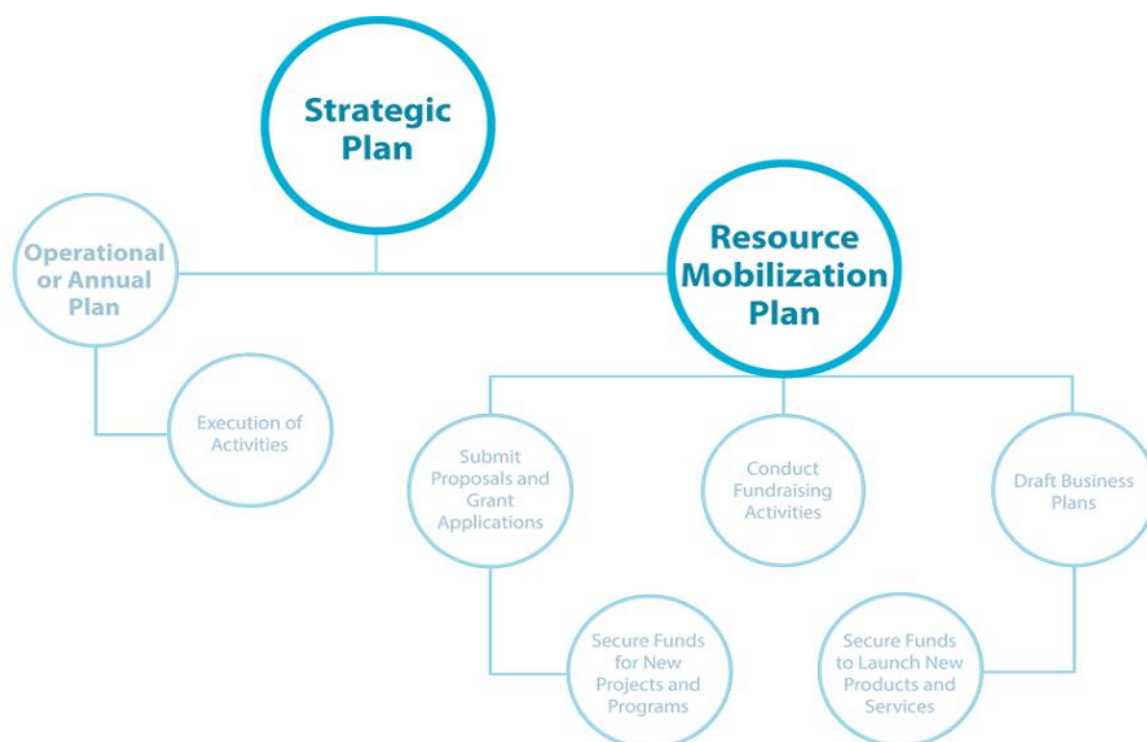
## Facilitator and discussion notes:

- Reputation is key, work on your organizational “brand” and maintain your credibility;
- You do not “choose” a donor, you have to convince them, you have to work for it, you need to invest time
- When establishing a new donor (or any other) relationship, you may omit some information in the phase of relationship building; but once the relationship is established you maintain it by truth, transparency and openness (and even communicate openly on mistakes and failures, while also showing the processes you have in place to detect them and learn from them → show you are a learning organization);
- “Make hey while the sun is still shining”: do not wait until you run out of funds; even if you are well funded now, writing a proposal is still a good thing;
- Help others to find funds and they will help you to find funds;
- Be willing and able to sell your organization: use every kind of situation to sell your organization; this is not up to 1 person responsible for resource mobilization, but should be done by all staff members;
- Proposal Writing: be more persuasive than you are descriptive; and understand what the donor wants,
- For new donors, get in touch with someone who has already won a proposal and ask for support in drafting process;
- Partner up with others to bring in the strength you may not have: this can also include proposal writing, M&E and reporting capacities for demanding donors,;
- Importance of studying donor guidelines: check if you understand them properly (involve more than two eyes)
- Reliability: once a proposal is won, show good performance, and if there are delays or challenges in implementation, communicate in time to the donor

## Resource Mobilization Strategy:

In order to support partner’s PD Strategy, each organization within the consortium project is asked to elaborate a resource mobilization plan that aims at securing funds for the strategy in a long term perspective.

**This shall be done in the course of years 1 of phase III.**



### Box 7: Structure of a Resource Mobilization Strategy

#### A. MAIN BODY OF THE DOCUMENT:

1. An executive summary
2. Authorization – includes all of the necessary signatures from senior management designating that they approve the contents of, and support implementation of, the plan
3. The RM Context – situation analysis
4. Track Record – highlights and accomplishments in RM
5. Goal, Objectives, and key outputs – for RM
6. Guiding Principles
7. RM priorities and targets – states which of the programme’s OR, RR, and/or CPF outcomes that RM efforts are focused.
8. Coordination and Oversight – include how the strategy will be managed and criteria for monitoring and evaluation, as well as the responsibilities and frequencies of monitoring the implementation of the plan

#### B. APPENDICES:

Appendices often include information that may be confidential, detail-oriented and/or tends to change a lot:

- i) Action Plan – specifies outputs, key activities, responsibilities and timelines for completion of objectives (Section 4.2.1 referencing the 5 steps of RM implementation)
- ii) Description of Strategic Planning Process – describes the process used to develop the plan, who was involved, the number of meetings, any major lessons learned to improve planning the next time around, etc.
- iii) Strategic Analysis Data – information generated during the external analysis (for example, environmental scan) and internal analysis (for example, SWOT analysis), and includes listing of strategic issues identified during these analyses.

## 4. Closing and Evaluation

After recapitulating on the various workshop sessions: East African partners are asked to write on cards what they think, the Austrian partners expect from them in the course of the upcoming phase III of the project; while Austrian partners (HORIZONT3000 and CARE Austria) note down what they think that East African partners expect from them.

East African partners expect the following from Austrian partners (gathered by Austrian partners and complemented by East African partners):

- Technical support (gender, children's rights, PD, KM,...)
- Provision of learning material
- Lobby for continuous donor funding for PD
- Easy templates for reports and cross-learning
- Support on ADA compliance issues
- Good/efficient communication
- Realistic and appropriate demands
- Support reporting and monitoring
- Support cross-learning
- Ensure development of project
- Develop milestones/ tools/ standards
- Design/coordinate end-term evaluation
- Share successes beyond the consortium
- Support in institutionalization (engage leadership also from Austrian side)

Austrian partners expect the following from East African partners (gathered by East African partners):

- Regular/ consistent communication
- Timely implementation
- Share challenges and learnings
- Document and share success stories and best practices
- Mainstreaming and dissemination PD manual
- Following reporting standards and sticking to reporting deadlines
- Institutionalization of PD
- Integrate PD into other initiatives
- implement recommendations of the evaluation
- Put into action learnings from the workshop (resource mobilization and gender analysis)
- Develop a resource mobilization strategy
- Tap into internal resources for PD
- Work with right partners to change the system
- Cross-learning: support each other
- Carry out gender analysis and develop gender integrating mechanisms
- Transparency and Accountability

In order to close the workshop each participant is asked to think about 1 word that comes into their mind when thinking about phase III of the policy dialogue project (something they want to achieve, something they feel, doubt, project, think,...). We close the session with a wall of words:



## Appendix

### Attachments:

- I. Survey Results
- II. Access PD Internet Plattform KNOW-HOW3000
- III. Experience Exchange – Partner Presentations
- IV. LogFrame Phase III
- V. Gender Analysis and Integration: PPT and Example Material
- VI. Inclusive System Development Approach: PPT
- VII. Resource Mobilization: PPT

### Links:

- Celebrating Successes and Preparing Phase III of the Policy Dialogue Consortium Project: <https://www.horizont3000.at/blog/celebrating-successes-and-preparing-phase-iii-of-the-policy-dialogue-consortium-project/36465>
- Policy Dialogue in East Africa – A Learning Guide for Civil Society Organizations and Policy Makers: <https://www.youtube.com/watch?v=0MKbwzKRYas>
- Policy Dialogue Consortium Project – Kick off Phase II (Guidelines and Recommendations from the Pilot Phase - <http://www.horizont3000.at/blog/kick-off-event-phase-2-of-policy-dialogue-project/22243>
- Empowerment for Policy Dialogue – Interview with GROOTS Kenya on the training: <http://www.horizont3000.at/blog/groots-kenya/29755>
- Empowerment for Policy Dialogue – Interview with DESECE on the training: <http://www.horizont3000.at/blog/29747/29747>
- Learning together and from each other: CSOs, Policy Makers and Media for successful policy dialogue (Country Workshop Uganda): <http://www.horizont3000.at/blog/learning-together-and-from-each-other-civil-society-policy-makers-and-media-representatives-for-successful-policy-dialogue-2/33465>
- Building Spaghetti towers for Policy Dialogue (Country Workshop Kenya): <http://www.horizont3000.at/blog/building-spaghetti-towers-for-policy-dialogue/32976>

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# Consortium Project II: Further strengthening capacities of CSOs engaging in POLICY DIALOGUE

Sharing and Planning Workshop, November 2019, Nairobi Kenya

HORIZONT 3000

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With funding from the

