

Terms of Reference (ToR)

for an

Analysis of

the System(s) of Capacity Development and Funding
for Policy Dialogue Engagement by Civil Society Organisations
in Kenya

March 10, 2021

1. Purpose and Background

An independent evaluation study, commissioned jointly by the Austrian Development Agency (ADA), the Danish International Development Assistance (Danida) and the Swedish International Development Agency (Sida) in 2011/ 2012, drew important lessons on why Civil Society engagement in policy dialogue in the Global South is not working effectively, especially when it comes to topics relevant for marginalised population groups. The evaluation team recommended, among others, to dedicate more resources to building Civil Society Organisations' (CSOs') capacities and to come up with adequate supporting and financing tools for their engagement in policy dialogue.¹ ADA followed up on the recommendations of the independent evaluation and invited Austrian Non-Governmental Organisations (NGOs) collaborating with CSOs in the Global South to develop a project on CSOs' engagement in policy dialogue.

Since 2014 five Austrian NGOs have implemented a consortium project, coordinated by HORIZONT3000 (Austrian Organisation for Development Cooperation) as lead agency, which aims at strengthening the capacities of selected East African partner organisations in policy dialogue engagement. The **Consortium Project “CSOs and Policy Dialogue”** strives towards contributing to a political environment in East Africa that is directed towards justice and equity by focusing on ways and

¹ ITAD/ COWI: Joint Evaluation of Support to Civil Society Engagement in Policy Dialogue. Synthesis Report, November 2012.

methods that promote policies in the interest of marginalised populations and disadvantaged or vulnerable groups. A number of CSOs in Kenya, Uganda, Tanzania and Rwanda (appr. 10) have been trained on approaches, methods and tools of engagement in policy dialogue, have elaborated policy dialogue strategies and have implemented Small Action Fund (SAF) initiatives for policy dialogue.

The current phase of the Policy Dialogue Consortium Project (Part III, 2020-2022) is focusing on consolidating and institutionalising previous learnings at individual partner level, on further supporting partner organisations to be able to influence policies for the benefit of marginalised populations, and on analysing the existing environment for CSO capacity development in policy dialogue, in order to contribute to an inclusive system development in this field.

So far, a limited number of CSOs have benefitted through the project by accessing capacity development in the field of policy dialogue as well as funding to test, apply and consolidate methods and approaches to influence policy processes. The project stepped into pressing needs of CSOs in East Africa by addressing two major constraints of successful CSO engagement in policy dialogue: lack of capacities and lack of resources. While these needs are (partially) met at the level of involved organisations for the time of the project, they are still existent in the region and are likely to persist to a certain extent even within targeted organisations, as policy dialogue is a complex and ever shifting field. This tendency is reinforced by existing trends towards shrinking spaces for civil society action in targeted countries.

Against this background, it has been planned to conduct an analysis that looks closely into the system around policy dialogue and CSO capacity development in Kenya, one of the countries in the region. It is envisaged to assess stakeholders who could step into providing capacity development in policy dialogue engagement for CSOs from a long-term perspective and how capacity development and engagement could be funded in the future in order to guarantee continuity and constant progress for inclusive policy frameworks.

A system approach addresses the underlying causes of poor performance in any specific system to create lasting changes that have a large-scale impact. No matter which system a development project or programme is addressing, there needs to be a vision how this system can work in the future for the benefit of disadvantaged groups.

Applied systems thinking in the context of programming strategies and project development is rather new to the majority of consortium partners. So far, the main focus has been on tools and methods related to the Market System Development (MSD) approach (in the context of “Making Markets Work for the Poor (M4P)”). Based on the MSD approach, Austrian NGOs have been developing a more generalised approach, which has been named Inclusive System Development (ISD).

Furthermore, HORIZONT3000 has been reading and learning from the Oxfam publication on “Systems thinking – an introduction for programme staff” which highlights that systems thinking: “Enables us to understand the roles and power of different actors. Enables us to mobilize action from many different actors, across sectors and across all parts of the system. Enables us to identify ‘leverage points’ that stimulate change across the system. Encourages fast feedback loops allowing adaptive management” (Oxfam, p.8)².

2. Audience and Use

The analysis study will serve as input and guiding document for consortium partners in East Africa and Austria, as well as other policy dialogue stakeholders in the system, who could benefit from the learnings of this analysis. Furthermore, the study is intended to further guide reflections on systems thinking in programming and project development and will provide insights into system analysis methods and tools to consortium partners.

² Oxfam (2015). Systems thinking: an introduction for Oxfam programme staff. Available online <https://oxfamlibrary.openrepository.com/bitstream/handle/10546/579896/ml-systems-thinking-151020-en.pdf?sequence=1>.

3. Objectives

The objective of the study is to gain deeper insights into the environment and system of capacity development and funding for policy dialogue engagement by CSOs in Kenya, through a structured analysis of main actors, will and skills of main actors, interlinkages and relevant aspects of the context specific institutional framework.

Specific questions to be addressed, but not limited to, are as follows:

- What defines the given context as well as the main constraints regarding CSO engagement in policy dialogue in Kenya, specifically with regard to capacity development (incl. funding thereof) and funding of CSO policy dialogue initiatives?
- Which local institutes, organisations, training providers or networks exist, who are already building the capacity of CSOs and/ or provide funding in that field, or have the conditions to do so in the future? What can be done to increase the will and/ or skill of stakeholders/ system actors to ensure capacity development in policy dialogue as well as funding from a long-term perspective?
- Which role and impact can be attributed to the “CSO and policy dialogue” project within the given system of capacity development for policy dialogue engagement by CSOs?
- What feasible measures can and shall be taken within this project to involve identified actors and further shape the environment of CSO engagement for the benefit of inclusive policy development?

4. Scope and Focus

The analysis shall investigate the system around policy dialogue engagement of CSOs in Kenya with a focus on access to and provision of capacity development and funding/ resources for capacity development but also directly for CSO policy dialogue initiatives. The study is intended to look at capacities and funding needs of CSOs at different levels (grassroots, county, national) in Kenya with regard to policy dialogue engagement (incl. but not limited to target groups of the PD project) as well as relevant system stakeholders/ actors (service providers, research institutions, networks, umbrella organisations, donors, development partners and others) who are providing training, capacity development and funding to CSOs. While capacity development for policy makers is considered equally important for the conduct of policy dialogue, the given study is to be focused on the target group of CSOs. Given that the consortium project “CSOs and Policy Dialogue” focuses on enabling policy dialogue in the interest of marginalised populations and disadvantaged or vulnerable groups, the study shall pay foremost attention to CSOs supporting respective target groups.

The study shall provide a system analysis identifying actors, looking at relationships, power dynamics and other relevant aspects, providing system map(s) and a stakeholder analysis matrix, combined with specific recommendations for the Policy Dialogue Consortium project.

The study shall apply a gender and diversity lens throughout the whole study. The study is expected to explicitly consider gender and diversity aspects when collecting data, analysing stakeholders, (power) relationships and constraints as well as formulating recommendations on how to interact with system actors in order to influence the system in a sustainable way for CSOs engaging in PD.

5. Methodology

The methodology including conceptual framework and approach as well as appropriate data collection methods are to be suggested by the consultant(s), and subsequently fine-tuned and agreed with consortium partners. The system analysis is expected to deliver as a minimum relevant system's map(s) and a detailed stakeholder analysis matrix and power analysis.

6. Expected Deliverables

- ✓ An **inception report**, including a detailed work plan and further relevant details regarding the conceptual framework and methods to conduct the assessment/ analysis, structure of the study report as well as an appropriate feedback/ validation process for the draft report.
- ✓ A **draft analysis/ study report**, based on desk research as well as field research using a variety of tools and methods, including main provisional findings, analysis as well as stakeholder analysis matrix and system's map(s), project specific recommendations and annex documents incl. relevant data compilations.
- ✓ **Conduct of a validation workshop or process (virtual or face-to-face, depending also on the given COVID-19 context) and final report:** leading the validation workshop/ process as agreed; writing the final report (max. 30 pages excl. annexes) incorporating feedback to the draft report as well as an executive summary (2-3 pages), table of content, list of abbreviations and glossary.

7. Timetable

The tentative timetable is envisaged as follows, to be finalised upon contract signature:

- Deadline for submission of offers - > 11th of April 2021
- Screening of offers, pos. interviews, contracting -> end of April 2021
- Inception report -> 10th of May 2021
- Draft report-> 11th of June 2021
- Feedback/ validation process -> end of June 2021
- Final report -> mid-July 2021

8. Budget and Payment Schedule

The total budget available for the study is **maximum EUR 15.000** and needs to be in line with the suggested study design and process.

This value must cover all costs relating to the assignment including fees, taxes, food, accommodation, national/international transportation, office materials, insurances, etc.;

Any relevant meetings or workshops must be included in the budget and should be easy to be accommodated by the partner organisations.

Payment of the fee is foreseen in three tranches:

- 30% at signature of the contract;
- 30% upon submission of the draft report;
- 40% after submission of the final report.

9. Required Skills and Qualifications of Consultant(s)

In case the study team consists of more than one person with different professional qualifications, a leader of the study team shall be appointed. The following skills and qualifications are considered as relevant:

- Researcher with experience in system analysis or,
- Professional with experience in applied Market System Development or similar approaches,
- Experience with participatory approaches and methods,
- Experience in East Africa incl. knowledge of the political, social and economic framework conditions in Kenya,
- Experience in working or collaborating with Civil Society Organisations,
- Sector-specific knowledge on policy dialogue and advocacy.

10. Deadline and Information concerning Offers

The offer (in English) has to be submitted via Email to Daniela Pfeffer, Project Coordinator Policy Dialogue Consortium Project at HORIZONT3000 Vienna (Email: Daniela.Pfeffer@horizont3000.at) until latest **April 11, 2021, 23:59 CET**. HORIZONT3000 reserves the right to extend the deadline if the offers received by then do not meet the requirements.

Offers must include:

- the consultants' CV(s), experiences and references,
- a technical proposal including incl. methodology, time and action plan and if necessary, suggestions and recommendations to the Terms of Reference,
- the number of working days designated to the assignment including daily rates,
- a detailed budget proposal, which has to be presented in EURO and must include all taxes, travel and other expenses (e.g. workshop or meeting costs).

There is the possibility to check back with HORIZONT3000 during an online session via MS Teams with Ms. Daniela Pfeffer and Ms. Petra Herout on **March 25, 2021, 11 a.m. CET**. The participation in the session must be informed upfront via email **until Tuesday, 23 March**, to Daniela Pfeffer daniela.pfeffer@horizont3000.at. The link will be provided after registration.

Contact

The general coordination of the study, including the selection, contracting and main contact point for conceptual and organisational questions, is assumed by Daniela Pfeffer, Project Coordinator Policy Dialogue at HORIZONT3000 Vienna (contact only via Email: Daniela.Pfeffer@horizont3000.at).