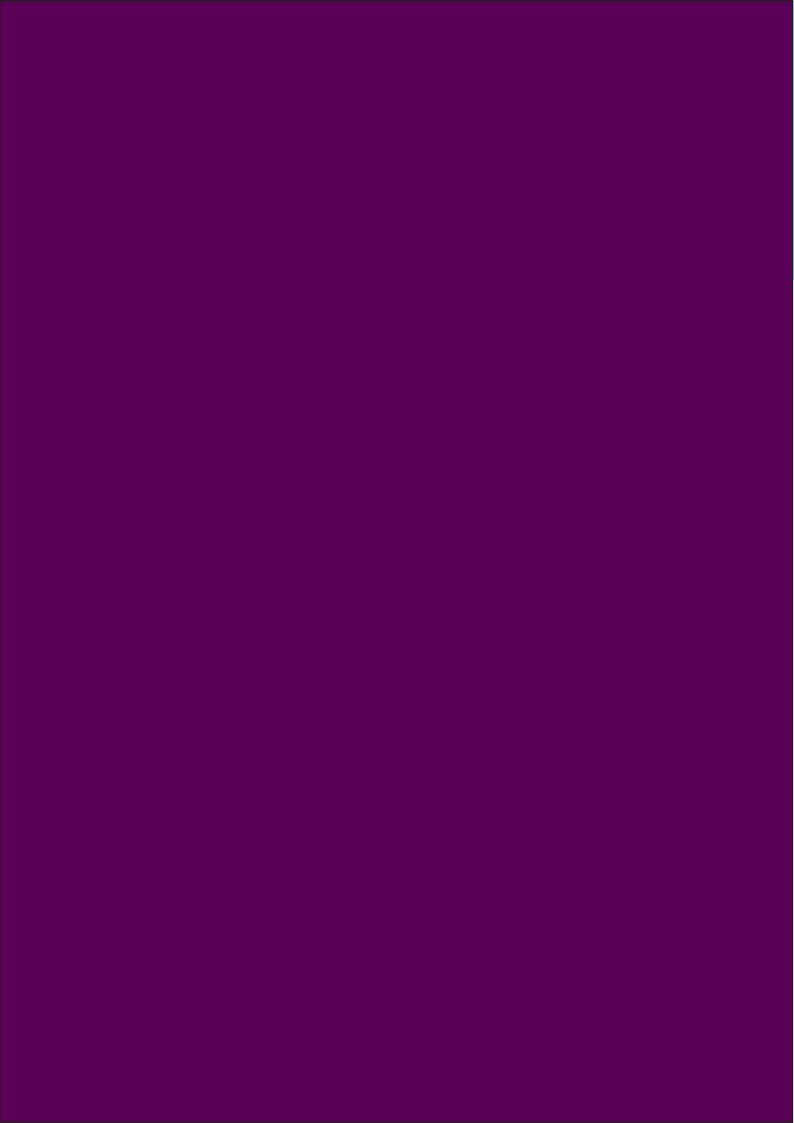
**NCA SOUTHERN AFRICA** 

# REGIONAL POLICY ADVOCACY OFFICE

**2020 - 2024 BASELINE REPORT** 









## **FOREWORD**

As we start a new NCA Regional Office in Southern Africa (ROSA) strategic period 2020 to 2024 with a particular focus on *Fighting Inequality*, it is important for us to take time to reflect on the previous strategic period and to carefully plan for the new period. This will help us to ensure that we use our resources well and that our work contributes to making lasting impact on the ground.

This baseline study is a critical tool in assessing the impact of our collective work and efforts as ROSA and our partners directly in Botswana, Mozambique, South Africa and Zimbabwe and indirectly across the SADC region. It will also help us to better compare and document the situation before and after the programme has been implemented. As we have learnt before, In the absence of key baseline data, it will be a challenge to measure the progress we are making or to monitor the impact that our work.

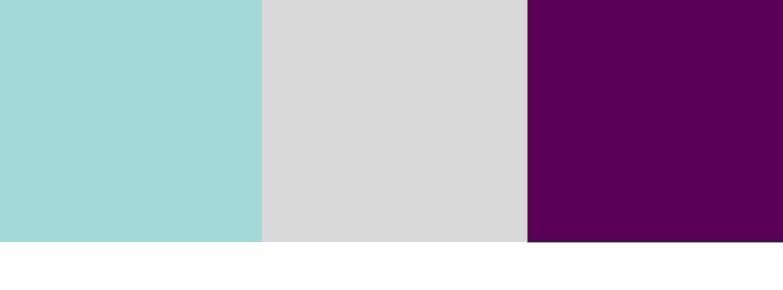
Measuring the impact of a policy advocacy programme is a complicated process as change does not always come when we want or expect it. Policy change may take several years hence the need to equip ourselves with the relevant tools to measure progress being made towards the eventual policy changes.

The work from the previous strategic period is the basis of this baseline study. The information in this report will be used in our annual, mid-term and end-term planning and evaluations and to collect evidence of the impact of our work on those whose lives we seek to change.

ROSA thanks all partners African Forum & Network on Debt & Development (AFRODAD), Fighting Inequality Alliance-South Africa (FIA-SA), Botswana Council of Churches (BCC), Bench Marks Foundation (BMF), Christian Council of Mozambique (CCM), Zimbabwe Coalition on Debt & Development (ZIMCODD), Zimbabwe Council of Churches (ZCC) and Zimbabwe Environmental Law Association (ZELA) for their active participation in this process. We would also like to thank Urban-Econ Consulting for their work.

## **Moreblessings Chidaushe**

Country & Regional Advocacy Manager March, 2021



## INTRODUCTORY OVERVIEW

Urban-Econ was appointed by the Norwegian Church Aid (NCA) to provide inputs into the development of baseline date for the following indicators:

## **Fighting Inequality**

- 1.1 Level of influence on duty bearers to increase domestic and international finance for and spending to reduce poverty and inequality
- 1.2 # of new and improved existing social welfare mechanisms and programmes implemented
- 1.3 # of rights-holders mobilised for just resource governance
- 1.4 # of domestic and international public institutions that are compliant and responsive to instruments and frameworks promoting transparency and accountability
- 1.5 # of actions taken by relevant government departments, ministries and other public institutions to increase transparency and accountability

## Strengthening Civil Society

Extent to which civil society is effective in influencing policy processes

# of advocacy initiatives faith leaders and NCA and partners are involved in leading to change in policies, laws, norms and practices

# of initiatives by duty-bearers to engage rights-holders and demonstrate public transparency & accountability

# of partners who have increased their scores on capacity development areas (identified in Partnership Assessment Tool)

# of persons from underrepresented groups who have been trained to participate in decision-making and % of these people (those counted in 3.1) who actively participate in decision-making bodies

The indicators encapsulate quantitative and qualitative measures of progress in the strategic goals of the NCA and its partners. Whilst the purpose of indicators is to allow expedient monitoring & measuring of various goal achievements, the above indicators are often not fully captured solely through numerical measures. As such, it is acknowledged that narrative contributions will often be relied upon to supplement the indicators presented in this report. The value of the indicators discussed in this report is not only in their provision of an immutable yardstick against which to measure progress, but also in their ability to motivate the NCA, its partners and their stakeholders towards ambitious end-states.

The above indicators are in pursuance of the NCA's Southern Africa (NCA SA) 2020-2024 Strategic Plan, which focuses on fighting inequality (FI). It must be noted that the baseline is informed by the previous NCA Southern Africa Strategic Plan (2016-2020, which focused on resource governance), as well as the NCA SA Regional Advocacy Strategy (2017).

The NCA SA 2020-2024 strategic plan identifies the following partners, which are referred to throughout this report:

- African Forum and Network on Debt and Development (AFRODAD)
- Bench Marks Foundation (BMF)
- Botswana Council of Churches (BCC)
- Christian Council of Mozambique
- Fighting Inequality Alliance South Africa (FIA-SA)
- Zimbabwe Coalition on Debt and Development (ZIMCODD)
- Zimbabwe Council of Churches (ZCC)
- Zimbabwe Environmental Law Association (ZELA)

Subsequent references to 'partners' within this report refer to the above organisations. Apart from Fighting Inequality Alliance South Africa, all the partners were part of the 2016-2020 strategic period and are envisioned as also being part of the 2020-2024 strategic period. Overviews of these partner organisations are provided in the NCA SA 2020-2024 strategic plan. These partners are seen as central to the implementation of the 2020-2024 strategy either through their direct programmatic interventions, or indirectly through their strategic networks and stakeholders.

The methodology for the broad study is presented below (while the methodology used for various indicators is presented per indicator in section 3 of this report).

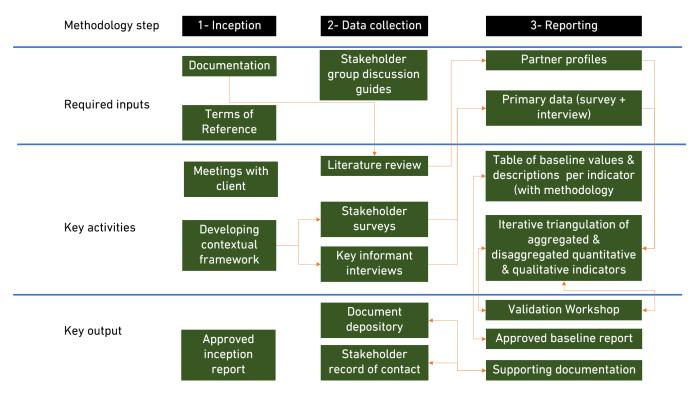
The inception phase involved establishment of common understanding on the project scope, key definitions, and the study approach as expressed through the inception report.

The data collection involved:

- Key informant interviews undertaken via virtual meetings (Microsoft Teams and Zoom) and e-mails with partner
  and strategic networks (n=14) focusing on key achievements from the 2016-2020 period and critical reflections
  going into the 2020-2024 period
- Stakeholder surveys distributed to target communities, public duty bearers, private sector duty bearers and faith leaders/ traditional leaders (n= 56).
- Literature review of key partner documentation including reports and publications (n=113)

Reporting entailed the development of a report in line with the NCA SA baseline study template (with draft for comment circulated) and presentation of key findings (via workshop).

Further detail on the methodology is provided in the inception report which is submitted as an Annexure to this document.



# • BASELINE VALUES

## Indicator:

1.1 Level of influence on duty bearers to increase domestic and international finance for and spending to reduce poverty and inequality

Grant(s):					
		Total	Partner 1	Partner 2	Partner 3
	Baseline value	2/5			
Geographic break down	Botswana	3/5	3/5 - Duty bearers agree to increase finance for and spending to reduce poverty and inequality  (Botswana Council of Churches)		
	Mozambique	2/5	2/5 - Duty bearers are aware of the need to increase finance for and spending to reduce poverty and inequality  (Christian Council of Mozambique)		
	South Africa	1.5/5	2/5 - Duty bearers are aware of the need to increase finance for and spending to reduce poverty and inequality  (Bench Marks Foundation)	1/5 - Duty bearers are unaware of the need to increase finance for and spending to reduce poverty and inequality  (Fighting Inequality Alligation)	
	Zimbabwe	4/5	tion)  4/5  - Duty bearers take action to increase finance for and spending to reduce poverty and inequality  (Zimbabwe Environmental Law Association)	ance Southern Africa)  4/5  - Duty bearers take action to increase finance for and spending to reduce poverty and inequality  (Zimbabwe Coalition on Debt and Development)	4/5 - Duty bearers take action to increase finance for and spending to reduce poverty and inequality  (Zimbabwe Council of Churches)
	Regional	3/5	3/5 - Duty bearers agree to increase finance for and spending to reduce poverty and inequality  (African Forum and Network on Debt and Development)	3/5 - Duty bearers agree to increase finance for and spending to reduce poverty and inequality  (as indicated by strategic networks)	

## Methodology:

#### Method:

#### **Definition:**

Duty bearers are persons & institutions holding power & resources with concomitant moral & legal obligations. Examples include government officials (i.e. employees of state institutions), elected representatives (e.g. ward councillors and parliamentarians), private sector entities (e.g. companies, trusts and their respective workforces and nominees)

#### Data source:

Interviews with partners i.e. Botswana Council of Churches, Christian Council of Mozambique, Bench Marks Foundation (South Africa), Fighting inequality Alliance South Africa, Zimbabwe Environmental Law Association, Zimbabwe Coalition on Debt and Development, Zimbabwe Council of Churches, African Forum and Network on Debt and Development (Regional: SADC).

Refer to 'Annexure: Stakeholder record of contact'.

Interviews with strategic networks i.e. (FDI, ICMM, Hyve, SARW, etc.)

Refer to 'Annexure: Stakeholder record of contact'.

Observations from partner documentation (organisational annual reports, NORAD reports, etc.

Refer to 'Annexure: Document depository'.

Observations from external sources such as media reports, websites, blogs, social media posts, etc Refer to 'Annexure Partner profile.

#### Sample size:

12 interviews via Microsoft Teams/ Zoom

2 written responses to interview questions

95 resources in document depository (partner documentation and external sources)

## Calculation

Scores assigned based on NCA Global results framework 2020-2030 categorisation of levels of influence where:

- 1= Duty bearers are passive or unaware of the need to increase finance for and spending to reduce poverty and inequality
- 2= Duty bearers are aware of the need to increase finance for and spending to reduce poverty and inequality
- 3= Duty bearers agree to increase finance for and spending to reduce poverty and inequality
- 4= Duty bearers take action to increase finance for and spending to reduce poverty and inequality
- 5= Public plans/ budgets/ policies/ actions reflect our advocacy messages to increase finance for and spending to reduce poverty and inequality

<u>See</u> <a href="https://www.kirkensnodhjelp.no/en/about-nca/global-results-framework-2020-2030/figthing-inequality/1-1-level-of-influence-on-duty-bearers-to-increase-finance/">https://www.kirkensnodhjelp.no/en/about-nca/global-results-framework-2020-2030/figthing-inequality/1-1-level-of-influence-on-duty-bearers-to-increase-finance/</a>

Individual partner scores substantiated in partner profiles and based on 1) partner interview 2) strategic network interviews 3) observations from partner documentation where Aggregate Partner Score (APs) = Total Partner Score (TPs) [2016-2019]/ Total observations (To) [2016-2019].

E.g. Aggregate Bench Marks Foundation Score= Bench Marks Foundation 2016 + Bench Marks Foundation 2017 + Bench Marks Foundation 2019/3

See "Annexure Partner profile......" for partner scores per year.

Geographic score based on average for in-country partners where:

Geographic score (Gs)= Aggregate partner Score (APs) / Number (N) of Partners per geographic area (Pg).

E.g., South Africa geographic score = Aggregate Bench Marks Foundation partner score+ Aggregate Fighting Inequality Alliance South Africa partner score / 2

Inputs from strategic networks on this indicator are considered under regional partners.

Total score based on average of all partner values where:

Total score (Ts) = Total Aggregate Partner Score (TAPs)/ Number of Total partners (NTp)

The total score was rounded down (as per NCA methodology) to the nearest whole number in order to fit the influencing scale.

For this indicator, the original total score of 2.89/5 was rounded down to 2/5.

Influence over duty bearers has a cyclical nature, rising over time, and diminishing as political changes (or emergent crises in other thematic areas of interest to duty bearers and rights holders) occur. This pattern was observed over time across partners and explains why few partners had extremely low or high scores (0 or 5).

Influence was observed at supranational (e.g., multilateral funders), national (e.g. Ministry of finance) as well as subnational spheres (e.g. ward-level councils.).

Survey results:

Q: How much influence does the NCA partner organisation, and its stakeholders have on spending to reduce poverty and inequality by local and international private duty bearers (e.g. CSI spending by companies)? [can only select 1 option]

N: 11 respondents to the target communities survey (i.e. AMI attendees, community monitors, etc)

Q; How much influence does the NCA partner organisation and its stakeholders have on spending to reduce poverty and inequality by local and international public duty bearers (e.g. ward-level or constituency-based budgets) [can only select 1 option].

N: 12 respondents to the target communities survey (i.e. AMI attendees, community monitors, etc).

Q: How much influence did the NCA partner organisation and its stakeholders have over your institution's spending to reduce poverty & inequality?

N: 5 respondents to public sector duty bearers survey (e.g., government officials)

The number of responses for these questions was too low to be representative at either the regional, national or partner level. The results presented above are included for consistency of comparison when the midline and endline evaluations are undertaken.

It is however worth noting that both duty bearers and rights holders are of the belief that NCA partners have high levels of influence

1.2 # of new and improved existing social welfare mechanisms and programmes implemented (over the 4-year period)

Grant(s):					
		Total	Partner 1	Partner 2	Partner 3
	Baseline value	8			
Geographic break down	Botswana	2	<b>2</b> (Botswana Council of Churches)		
	Mozambique	2	(Christian Council of Mozambique)		
	South Africa	1	1 (Bench Marks Foundation)	(Fighting Inequality Alliance South Africa)	
	Zimbabwe	2	1 (Zimbabwe Environ- mental Law Associ- ation)	(Zimbabwe Coalition on Debt and Develop- ment)	(Zimbabwe Council o Churches)
	Regional	1	(African Forum and Network on Debt and Development)		

## Methodology:

## Method:

## Data source:

Interviews with partners i.e. Botswana Council of Churches, Christian Council of Mozambique, Bench Marks Foundation (South Africa), Fighting Inequality Alliance South Africa, Zimbabwe Environmental Law Association, Zimbabwe Coalition on Debt and Development, Zimbabwe Council of Churches, African Forum and Network on Debt and Development (Regional: SADC).

Refer to 'Annexure: Stakeholder record of contact'.

Observations from partner documentation (organisational annual reports, NORAD reports, etc. Refer to 'Annexure: Document depository';

Observations from external sources such as media reports, website blogs, social media posts, etc Refer to 'Annexure Partner profile....

## Sample size:

12 interviews via Microsoft Teams/ Zoom

2 written responses to interview questions

95 resources in document depository (partner documentation and external sources)

## **Calculation**

Individual partner scores substantiated in partner profiles and based on 1) partner interview 2) strategic network interview 3) observations from partner documentation where:

Aggregate Partner Score (APs) = Total Partner Score (TPs) [2016-2019]

e.g. Aggregate Bench Marks Foundation Score= Bench Marks Foundation 2016 + Bench Marks Foundation 2017 + Bench Marks Foundation 2018 + Bench Marks Foundation 2019

See "Annexure Partner profile......" for partner scores per year.

Geographic score based on Total for in-country partners where:

Geographic score (Gs)= Sum of Aggregate partner Score (Aps)

E.g. South Africa Geographic score = Aggregate Bench Marks Foundation partner score+ Aggregate Fighting Inequality Alliance South Africa partner score.

Total score based on average of all partner values where: Total score (Ts) = Total Aggregate Partner Score (TAPs)

## Analysis of baseline value (optional):

It is recognised that improving existing programmes and introducing new ones typically takes longer than 12 months. Conceptualising, planning, budgeting for and implementing new or augmented social welfare programmes often takes longer than a year, and thus this indicator has been adjusted to be measured over 4-year cycles instead of annually. This acknowledges the fact that in some cases no new social welfare mechanisms may be implemented for several years in an area, even if 'behind-the scenes lobbying & advocacy groundwork' is being undertaken by partners and their stakeholders.

Examples of new and improved existing social welfare mechanisms and programmes implemented include:

- Community benefit sharing mechanisms (Botswana)
- Regulation of fair compensation (South Africa)
- Community share ownership trusts (Zimbabwe)
- Humanitarian relief disbursements (Mozambique)
- Community monitoring of extractive industries revenue funds (Zimbabwe)
- Allocation of special quotas to disadvantaged groups from mineral revenue.
- Beneficial ownership clauses in legislation (Zimbabwe)
- Corporate social investment spending by private entities (South Africa)

It may be observed that the above are typically associated with resource governance of extractive industries (mainly mining).

The majority of observations were improvements to existing social welfare mechanisms (i.e. updated design, implementation vehicle or targeting), rather than outright new programmes. In most cases it was stakeholders (e.g. community monitors) rather than NCA partners that made recommendations for improvements. The limited survey results however indicate that social welfare mechanisms introduced are often informed by the advocacy position of NCA partners.

## 1.3 # of rights-holders mobilised for just resource governance

Grant(s):		<li>list name of grants this indicator will be reported on&gt;</li>						
		Total	Total Women	Total Men	Young women	Young men		
	Baseline value	4 983	2 518	2 465	937	909		
Geographic	Botswana	2000	1 020	980	374	352		
break down	Mozambique	351	179	172	62	59		
	South Africa	157	80	77	29	29		
	Zimbabwe	2 165	1 083	1 082	417	415		
	Regional	310	156	154	55	54		

## Methodology:

#### Method:

#### **Definition:**

Rights holders are those entitled to have their rights fulfilled. Examples include citizens, residents, constituents and program beneficiaries/ participants.

#### Data source:

Botswana:

Value based on

2019 SA Annual report FINAL

Mozambique:

Totals based solely on Christian Council of Mozambique using data from

CCM 2019 report to NCA

South Africa:

Bench Marks Foundation value of 157 based on:

Bench Marks Foundation Abridged Annual report 2019

South Africa:

Fighting Inequality value based on

Success indicator framework/ activity reports

Zimbabwe:

ZIMCODD value of 1 128 based on

ZIMCODD 2019 NCA annual Report

This accounts for ZAMI, PAMI and DAMI attendees (noting that these values are not included in calculations for AFRO-DAD, ZELA and ZCC, even though these entities also played integral parts in organising these events.

This also assumes that a negligible number of persons attend all 3 types of events (ZAMI/ DAMI/ PAMI)

Zimbabwe:

ZELA value of 37 based on:

ZELA NCA Narrative report 2019

This accounts for Tax justice advocacy participants but does not include ASM clinic participants as a large percentage of these are assumed to have attended the ZAMIs/ PAMIs/ DAMIs, which for the purposes of this report are listed under ZIMCODD.

Zimbabwe:

ZCC value of 1000 based on:

ZCC NCA Narrative report 2016-2018

This accounts 2019 National Budget consultations but does not include natural resource governance thematic intervention participants as a large proportion of these are assumed to have attended the ZAMIs/ PAMIs/ DAMIs, which for the purposes of this report are listed under ZIMCODD.

Regional:

AFRODAD value of 310 based on:

AFRODAD annual report 2019

It must be noted that not all of these rights holders are based in the SADC region (some of the sessions invited participants from outside the SADC region.

It is also noted that attendees at AFRODAD regional sessions are likely to include some rights holders mobilised by other NCA partners.

Sample size: 7 partner annual reports (2019)

Sampling method: Based entirely on 2019 records as not all partners reported consistently in other years.

#### Calculation:

Geographic Women, Men, Young women and Young men values reflect the proportion of each cohort in the greater national population using data from:

https://www.census.gov/data-tools/demo/idb/#/country?YR\_ANIM=2021

This is because not all attendance records provide disaggregation for age and gender. As such, the baseline value should aspire to reflect the overall distribution of these cohorts within the broader geographic populations. The proportions used for the youth populations was:

Botswana young women = Age 18-35 = 18.7% of total 2020 population

Botswana young men = Age 18-35 = 17.6% of total 2020 population

Mozambique young women = Age 18-35 = 17.7% of total 2020 population

Mozambique young men = Age 18-35 = 16.9% of total 2020 population

South Africa young women = Age 18-35 = 18.7% of total 2020 population

South Africa young men = Age 18-35 = 18.6% of total 2020 population Zimbabwe young women = Age 18-35 = 19.3% of total 2020 population

Zimbabwe young men = Age 18-35 = 19.2% of total 2020 population

Baseline value for each cohort (Women, Men, Young women and Young men) based on addition of geographic values.

# Analysis of baseline value (optional):

Examples of initiatives through which rights holders were mobilised for just resource governance include:

- Alternative Mining Indabas (at National, Provincial, District and Local levels)
- Budget tracking training, workshops, meetings and similar events
- Training as community monitors/ ambassadors
- Social and cultural meetings organised around the theme (e.g. debates, dialogues & sporting events)

The high number of rights holders mobilised in Zimbabwe and Botswana is largely a function of those countries' partners hosting multiple Alternative Mining Indabas at the Provincial, District and Village levels.

1.4 # of domestic and international public institutions that are compliant and responsive to instruments and frameworks promoting transparency and accountability

Grant(s):					
		2019 Mo Ibrahim Accountability & Transparency score: Budget transparency (Dis- closure of Finan- cial Information)	2019 Mo Ibra- him Account- ability & Trans- parency score : Consultation & deliberation (Civic Checks & Balances)	2019 Mo Ibrahim Ac- countability & Transparency score: Access to information (Accessibility of Information)	2019 Open Budget Survey Score
	Baseline value				1
Geographic break down	Botswana	41.3/ 100	51.0/ 100	33.3/ 100	38/100 = minimal informa- tion available
	Mozambique	45.7/ 100	53.1/ 100	33.3/ 100	42/100 = limited information available
	South Africa	94.6/ 100	78.7/ 100	52.8/ 100	87/100 = Extensive information available
	Zimbabwe	53.3/ 100	32.3/ 100	44.4/ 100	49/100 = limited information available
	Regional	39.8/ 100 (SADC)	54.5 / 100 (SADC)	32.5/ 100 (SADC	n/a

## Methodology:

#### Method:

Multiple sources are utilised as definitions and understandings of transparency and accountability are context-specific (particularly when concepts of compliance and responsiveness are introduced).

This indicator was refined based on inputs provided in the partner validation workshop.

## Data source:

Mo Ibrahim Governance Index 2020

https://iiag.online/app.html?loc=BW|MZ|ZA|ZW HYPERLINK "https://iiag.online/app.html?loc=BW%7CMZ%7CZA%7CZW&meas=ACCTRANS&view=overview"& HYPERLINK "https://iiag.online/app.html?loc=BW%7CMZ%7CZA%7CZW&meas=ACCTRANS&view=overview"meas=ACCTRANS HYPERLINK "https://iiag.online/app.html?loc=BW%7CMZ%7CZA%7CZW&meas=ACCTRANS&view=overview"& HYPERLINK "https://iiag.online/app.html?loc=BW%7CMZ%7CZA%7CZW&meas=ACCTRANS&view=overview"view=overview

## Open Budget Survey

https://www.internationalbudget.org/open-budget-survey/rankings

The Mo Ibrahim score presented here is only for accountability and transparency, which in turn forms part of the 'security and safety' category within the overall governance score assigned to a country. Three sub-indicators of accountability and transparency have been selected as being most relevant to the NCA's current mix of partners and strategic networks in the Southern African region, these being:

- Consultation & Deliberation: This sub-indicator assesses the extent to which there is a network of cooperative associations and interest groups to mediate between society and the political system and major civil society organisations (CSOs) are routinely consulted by policy makers.
- Budget Transparency: This sub-indicator assesses the amount and timeliness of budget information that governments make publicly available in eight key budget documents in accordance with international good practice standards.
- Access to Information: This sub-indicator assesses the extent to which publicly available information, legislative
  information and records of state-owned companies are accessible as well as the extent to which information
  requests are of high quality and reliable.

The sub-indicators have a high degree of complementarity to the other indicators outlined in this report. They also allow the different partners to be assessed on those elements that align with their core organisational values and stated programme areas. It is worth noting that the results show significant variation across the 3 sub-indicators, thus revealing the value in using them in disaggregated form.

An Open Budget survey score above 60 (out of 100) is considered to indicate countries that publish sufficient material to support informed public debates around budgets. The global average score in 2019 was 45/100. it is important to note that the Open Budget Survey score may be disaggregated into the following sub indicators:

- Transparency measures public access to information on how the central government raises and spends public resources. It assesses the online availability, timeliness, and comprehensiveness of eight key budget documents.
- Public participation assesses the formal opportunities offered to the public for meaningful participation in the different stages of the budget process.
- Budget oversight examines the role that legislatures and supreme audit institutions play in the budget process and the extent to which they provide oversight.

Based on the contents of the NCA strategic programme, transparency and public participation could be selected as sub indicators, while budget oversight might be outside the strategic reach of the NCA SA regional advocacy programme.

Other measures that could be considered include:

- Membership of EITI as of February 2021Mozambique was the only member country (from those considered in this report)
- SARW 2016 mineral resource governance barometer- this is however not updated annually, which means tracking progress on an annual basis would not be possible.
- Membership of the Open Government Partnership- as of February 2021 South Africa was the only member country (from those considered in this report)

1.5 # of actions taken by relevant government departments, ministries and other public institutions to increase transparency and accountability

Grant(s):					
		Total	National Department/ ministry	Subnational department/ ministry	Other public institutions
	Baseline value	7	5	1	1
Geographic	Botswana	1	1	0	0
break down	Mozambique	1	1	0	0
	South Africa	1	1	0	0
	Zimbabwe	3	1	1	1
	Regional	1	1		

## Methodology:

#### Method:

#### Data source:

Interviews with partners i.e. Botswana Council of Churches, Christian Council of Mozambique, Bench Marks Foundation (South Africa), Fighting inequality Alliance South Africa, Zimbabwe Environmental Law Association, Zimbabwe Coalition on Debt and Development, Zimbabwe Council of Churches, African Forum and Network on Debt and Development (Regional: SADC).

Interviews with strategic networks

Refer to 'Annexure: Stakeholder record of contact'.

Survey distributed to stakeholders of partners (e.g. community monitors, training participants, attendees at recurring events such as Alternative Mining Indabas and once-off events such as advocacy workshops

Refer to 'Annexure: Redacted survey results (raw)

Observations from partner documentation (organisational annual reports, NORAD reports, etc. Refer to 'Annexure: Document depository';

Observations from external sources such as media reports, social media posts, etc Refer to 'Annexure Partner profile....

#### Sample size:

12 interviews via Microsoft Teams/ Zoom 2 written responses to interview questions

## Sampling method:

Non-probability Convenience sampling used for expedited data collection given time constraints & Covid-19 related limitations (noting possible bias). Sample based on stakeholders of NCA partners that 1) received request to participate in survey 2) Had means to complete survey [internet access or cell phone access] 3) Consented to participate 4) Completed relevant question [non-compulsory].

## Calculation:

Individual partner scores substantiated in partner profiles and based on 1) partner interview 2) strategic network interview 3 ) observations from partner documentation where:

Aggregate Partner Score (APs) = Total Partner Score (TPs) [2016-2019] / Total observations (To) [2016-2019] E.g. Aggregate Bench Marks Foundation Score= Bench Marks Foundation 2016 + Bench Marks Foundation 2017 + Bench Marks Foundation 2019/3

See "Annexure Partner profile." for partner scores per year.

Geographic score based on average for in-country partners where:
Geographic score (Gs)= Aggregate partner Score (APs)/ Number (N) of Partners per geographic Area (Pg)
E.g. South Africa Geographic score = Aggregate Bench Marks Foundation partner score+ Aggregate Fighting Inequality
Alliance South Africa partner score / 2

Total score based on average of all partner values where:

Total score (Ts) = Total Aggregate Partner Score (TAPs)/ Number of Total partners (NTp)

## Analysis of baseline value (optional):

This indicator has been split into 3 sub-indicators:

- Actions at national level
- Actions at subnational level
- Actions at parastatal level (other public institutions)

Sub-indicators allow more granular look at where transparency/ accountability is increasing (acknowledging that a change at local level has different scope/ scale/ impact to one at national level).

Examples for this indicator include:

- Attendance of events such as AMIs by government departments
- Establishment of platforms for participatory budgeting around ward allocation funds and similar ring-fenced allotments
- Setting up of help desks, commissions, inquiries, committees, etc
- Local authority/ council officials availing themselves to meet with partners or their stakeholders.
- Public statements on intentions to adopt standards such as EITI, Publish What You Pay or endorse the African Mining vision (and associated governance framework)
- Improvements in the quality of feedback reporting by entities such as the Auditor General or standing committees of parliament.
- Duty bearers attending field site visits with partners & stakeholders.

The relatively low scores for this indicator are because the emphasis was on new actions directly or indirectly resulting from the actions of NCA partners and their stakeholders. This means that already existing and functional platforms of engagement were not counted. The calculation thus focused on either new platforms of engagement, or pre-existing dormant platforms that were reactivated in part due to petitions from NCA partners and their stakeholders.

Extent to which civil society is effective in influencing policy processes

Grant(s):					
		Total	Partner 1	Partner 2	Partner 3
	Baseline value	3/5			
Geographic break down	Botswana	3/5	3/5 - Partner has medium influence over policy processes (Policy makers are aware of and agree with our advocacy position)		
			(Botswana Council of Churches)		
	Mozambique	4/5	- Partner has high influence over policy processes ( Policymakers are aware of, agree with and take action based on our position)		
			(Christian Council of Mozambique)		
	South Africa	2/5	3/5 - Partner has medium influence over policy processes (Policy makers are aware of and agree with our advocacy position)  (Bench Marks Foundation)	2/5 - Partner has low influence over policy processes (policy makers are aware of our position)  (Fighting Inequality Alliance South Africa)	
	Zimbabwe	4/5	4/5 - Partner has high influence over policy processes (Policymakers are aware of, agree with and take action based on our position)  (Zimbabwe Environmental Law Association)	4/5 - Partner has high influence over policy processes (Policymakers are aware of, agree with and take action based on our position) take action based on our position)  (Zimbabwe Coalition on Debt and Development)	4/5 - Partner has high influence over policy processes ( Policymakers are aware of, agree with and take action based on our position)  (Zimbabwe Council of Churches)
	Regional	2.5/5	2/5 - Partner has low influence over policy processes (policy makers are aware of our position)  (African Forum and Network on Debt and Development)	3/5 - Partner has medium influence over policy processes (Policy makers are aware of and agree with our advocacy position)  (as indicated by strategic networks)	

## Methodology:

## Method:

## **Definition:**

Scores assigned based on adapted NCA Global results framework 2020-2030 categorisation of levels of influence where:

- 1= No influence
- 2= Low influence (awareness)
- 3= Medium influence (agreement)
- 4= High influence (action)
- 5= Maximum influence

<u>See https://www.kirkensnodhjelp.no/en/about-nca/global-results-framework-2020-2030/figthing-inequality/1-1-level-of-influence-on-duty-bearers-to-increase-finance/</u>

#### Data source:

Interviews with partners i.e. Botswana Council of Churches, Christian Council of Mozambique, Bench Marks Foundation (South Africa), Fighting inequality Alliance South Africa, Zimbabwe Environmental Law Association, Zimbabwe Coalition on Debt and Development, Zimbabwe Council of Churches, African Forum and Network on Debt and Development (Regional: SADC).

Interviews with strategic networks

Refer to 'Annexure: Stakeholder record of contact'.

Observations from partner documentation (organisational annual reports, NORAD reports, etc.

Refer to 'Annexure: Document depository'

Observations from external sources such as media reports, social media posts, etc Refer to 'Annexure Partner profile....

#### Sample size:

12 interviews via Microsoft Teams/ Zoom 2 written responses to interview questions

Bench Marks Foundation 2019/3

#### Calculation

Individual partner scores substantiated in partner profiles and based on 1) partner interview 2) strategic network interview 3) observations from partner documentation where:

Aggregate Partner Score (APs) = Total Partner Score (TPs) [2016-2019] / Total observations (To) [2016-2019] E.g. Aggregate Bench Marks Foundation Score= Bench Marks Foundation 2016 + Bench Marks Foundation 2017 +

See "Annexure Partner profile" for partner scores per year.

Geographic score based on average for in-country partners where:

Geographic score (Gs)= Aggregate partner Score (APs)/ Number (N) of Partners per geographic Area (Pg)

E.g. South Africa Geographic score = Aggregate Bench Marks Foundation partner score + Aggregate Fighting Inequality Alliance South Africa partner score / 2

Inputs from strategic networks on this indicator are considered under regional partners.

Total score based on average of all partner values where:

Total score (Ts) = Total Aggregate Partner Score (TAPs)/ Number of Total partners (NTP)

The total score was rounded down (as per NCA methodology) to the nearest whole number in order to fit the influencing scale.

For this indicator, the original total score of 3.2 /5 was rounded down to 3/5

In line with *a priori* expectations, NCA partners and their stakeholders had higher levels of influence over policy (3.2/5) compared to their influence levels over budgetary and financial resource allocation (2.8/3.5).

The original baseline indicator study methodology sought to compare the perceptions of NCA partners and their stake-holders against the perceptions of duty bearers regarding the influence levels attributable to NCA partners and their stakeholders. The low survey response rate however meant an insufficient sample size was yielded for such a comparison. It is however recommended that this be explored at the mid-line and end-line evaluation stages.

From the limited public sector duty bearer survey responses (n=4), indications are that NCA partners have higher levels of influence over policies and laws than they do over norms and practices.

## Indicator:

# of advocacy initiatives faith leaders and NCA and partners who are involved in leading to change in policies, laws, norms and practices

Grant(s):					
		Total	Partner 1	Partner 2	Partner 3
	Baseline value	52			
Geographic Botswana break down		9	<b>9</b> (Botswana Council of Churches)		
	Mozambique	9	(Christian Council of Mozambique)		
	South Africa	8	6 (Bench Marks foundation)	(Fighting Inequality Alliance South Africa)	
	Zimbabwe	18	5 (Zimbabwe Environmental Law Association)	<b>7</b> (Zimbabwe Coalition on Debt and Development)	<b>6</b> (Zimbabwe Council of Churches)
	Regional	8	(African Forum and Network on Debt and Development )		

## Methodology:

#### Method:

#### **Definitions:**

Advocacy is "a strategic approach or a set of activities to influence decision-makers, laws and regulations, structures, and practices to address the root causes of injustice"

(Norwegian Church Aid Southern Africa, 2017. Regional Advocacy Strategy

"Advocacy Initiatives in this instance are defined as a deliberate processes to directly and indirectly influence duty bearers, stakeholders, and/or relevant audiences to support and implement actions that contribute to a specific shared objective 1. These include both formal (e.g. formal statements, sanctions, legal actions, etc.) and informal activities that are either public or directed towards a duty bearer."

https://www.kirkensnodhjelp.no/en/about-nca/global-results-framework-2020-2030/strengthening-civil-society/2-1-of-initiative-by-right-holders-to-hold-duty-bearer-saccountable/

#### Data source:

Observations from partner documentation (organisational annual reports, NORAD reports, etc. Refer to 'Annexure: Document depository';

Observations from external sources such as media reports, social media posts, etc Refer to 'Annexure Partner profile...

#### Calculation:

Multiple instances of similar advocacy initiatives are only counted as one initiative based on the issue at hand. For example, if a partner releases 100 social media posts in year, the calculation will count 'social media posts' as 1 instance of an advocacy initiative.

2019 data is used for this indicator as other years have varying levels of reporting detail. The exception is for Fighting Inequality Alliance Southern Africa, which only began activities supported by NCA in 2020

Botswana:

Value based on

BCC-NCA 2019 INTRAC Report

Mozambique:

Value based on

CCM 2019 report to NCA

South Africa:

Value based on

Bench Marks Jan to November 2019- NCA

South Africa:

Fighting Inequality value based on

Success indicator framework/ activity reports

Zimbabwe

Value based on

ZCC NCA Annual report 2019

ZELA NCA narrative report 2019

ZIMCODD 2019 NCA annual report

Regional

AFRODAD Annual report 2019

Individual partner values are based on enumeration.

Geographic Values are based on addition of all partner values within that region.

An emergent theme from literature reviewed as well as the interviews undertaken relates to the indeterminate nature of the attribution 'ceiling of accountability'. This refers to how attempts to measure the impact of a catalogue of programs (with associated composite projects and actions) are typically imprecise.

It is thus often difficult to attribute changes in policy stances to specific actions undertaken by one or more NCA partners (and their stakeholders) as these often work in concert. This is further complicated by the wide range of advocacy initiatives deployed (e.g. community dialogues, constituency mobilisation, youth debates, meetings, lawsuits, research studies, media engagement, etc.). Each of these may seek to achieve different short-term goals, whilst all ultimately seek to contribute towards unified visions of fighting inequality and strengthening civil society.

Examples of initiatives considered under this indicator include:

- Media campaign
  - Social media posts advocating for a certain position or outcomes.
- Capacitation and training:
  - Training of public officials on their constitutional obligations
  - Education of duty bearers and rights holders
  - Training communities around gender responsive budgeting
- Mass gathering
  - Organising of rallies, marches, protests demonstrations, pickets
- Knowledge generation
  - Production and publication of research outputs such as position papers, reports, working papers, etc.
- Knowledge dissemination
  - Conferences, workshops, symposia, mailing lists, etc.
- Lobbying for new or improved policies
  - Making submissions at multilateral platforms such as the pan-African parliament
  - Litigation

The number of initiatives undertaken in each geographic region may be seen in part as a function of the number of partners operating in each country. This would in part explain why Zimbabwe had the most advocacy initiatives.

# of initiatives by private sector duty-bearers to engage rights-holders and demonstrate public transparency & accountability

Grant(s):					
		Total	Partner 1	Partner 2	Partner 3
	Baseline value	13			
Geographic break down	Botswana	1	1 (Botswana Council of Churches)		
	Mozambique	6	6 (Christian Council of Mozambique)		
	South Africa	1	1 (Bench Marks foundation)	(Fighting Inequality Alliance South Africa)	
	Zimbabwe	1	1 ( Zimbabwe Environmen- tal Law Association)	(Zimbabwe Coalition on Debt and Development)	(Zimbabwe Council of Churches)
	Regional	2	(African Forum and Network on Debt and Development)	1 Strategic networks	

# Methodology:

#### Method:

## **Definition:**

Duty bearers are persons & institutions holding power & resources with concomitant moral & legal obligations. Examples include government officials (i.e. employees of state institutions), elected representatives (e.g. ward councillors and parliamentarians), private sector entities (e.g. company, trusts and their respective workforces and nominees)

In order to prevent duplication with indicator 1.5, this indicator focuses solely on private sector duty bearers (i.e. companies, trusts and similar).

Rights holders are those entitled to have their rights fulfilled. Examples include citizens, residents, constituents and program beneficiaries/ participants.

## Data source:

Observations from partner documentation (organisational annual reports, NORAD reports, etc. Refer to 'Annexure: Document depository';

Observations from external sources such as media reports, social media posts, etc Refer to 'Annexure Partner profile....

## Calculation:

2019 data is used for this indicator as other years have varying levels of reporting detail.

Botswana: Value based on BCC-NCA 2019 INTRAC Report

Mozambique: Value based on CCM 2019 report to NCA

South Africa: Value based on Bench Marks Jan to November 2019- NCA

South Africa:
Fighting Inequality value based on
Success indicator framework/ activity reports

Zimbabwe
Value based on
ZCC NCA Annual report 2019
ZELA NCA narrative report 2019
ZIMCODD 2019 NCA annual report

Regional

<u>AFRODAD Annual report 2019</u>

<u>Interviews with strategic networks</u>

Individual partner values are based on enumeration.

Geographic Values are based on addition of all partner values within that region.

# **Analysis of baseline value (optional):**

Scores are based on the number of initiatives identified in partner reports .

Examples of this indicator include:

- Creation of advisory committees
- Setting up of help desks, commissions, inquiries, committees, etc
- Attendance of events such as AMIs
- Membership of entities such as ICMM
- Establishment of Community Share Ownership trusts

Indicator:					
			reased their so ortnership Asse	cores on capacitessment tool)	y develop-
Grant(s):					
		Total	Partner 1	Partner 2	Partner 3
Geographic break down					
Methodology	<b>/:</b>	<u> </u>			
Method:					
Data source:					
Calculation:					

# of persons from underrepresented groups who have been trained to participate in decision-making and % of these people (those counted in 3.1) who actively participate in decision-making bodies

Grant(s):				
		Total	Women	Youth
	Baseline value	38	16	24
Geographic	Botswana	No data provided	No data provided	No data provided
break down	Mozambique	41	30	30
				(defined by partner as aged 18-25)
	South Africa	163	75	10
	Zimbabwe	174	91	174
	Regional	No data provided	No data provided	No data provided

# Methodology:

#### Note:

Most of the partner documentation did not provide attendance numbers or disaggregate these into gender and youth. In some cases, partner definitions of youth did not align with the SADC definition.

Little-to-no information was provided for other underrepresented groups such as LGBTIQ+, ethnic minorities, persons with disabilities and indigenous peoples.

## Method:

## Data source:

Mozambique: Value based on CCM 2019 report to NCA

South Africa:

Bench Marks Foundation value based on:

<u>Bench Marks Foundation 2018 Annual report</u>

South Africa:

Fighting Inequality value based on Success indicator framework/ activity reports

Zimbabwe:

ZIMCODD value based on

ZIMCODD 2019 NCA annual Report

6 of the 7 target community survey respondents that attended various training sessions indicated they were actively participating in decision-making bodies. All the respondents indicated that the training they received from NCA partners had been influential in their decision to actively participate in decision-making bodies. Whilst encouraging, this result is from a very small sample.

Training covered topics such as:

- Becoming health champions
- Activism
- Tax justice
- Budgeting
- Socio-economic justice
- Community monitoring techniques
- Public finance management
- Summer schools
- Youth debates
- Online political education programme

Examples of decision-making bodies considered as part of this indicator include:

- Ward development forums
- Constituency committees
- Provincial task force teams

# ADDITIONAL BASELINE INFORMATION (OPTIONAL)

Civil society advocacy is often undertaken in collaboration with different groupings of partners and constituencies where common interests align. This is a proven successful strategy for leveraging greater resources and including myriad voices for maximised impact, in comparison so operating in isolation. This however increases the complexity of undertaking baseline activities such as this as many activities are:

- Implemented by multiple entities (some commonly supported by the NCA, and others, not)
- Funded by various donors.

The partner profile annexures submitted with this report indicate where such disclosures have been made.

Similarly, there is often overlap in categorisation of activities into the different indicators. For example, a ward councillor scheduling and attending a meeting with community monitors to discuss and agree-upon allocation of constituency funds towards a local school could feasibly be interpreted as evidence of the following indicators:

- Influence on duty bearers to increase domestic finance to reduce poverty.
- Improved social welfare mechanisms.
- Action taken by relevant government department and other institutions to increase transparency & accountability.
- Extent to which civil society is influencing policy processes.
- Initiative by duty-bearers to engage right-holders and demonstrate public transparency and accountability.

The indicators are thus not discrete variables that can always be neatly delineated and measured across different institutional contexts.

## NOTE TO SELF FOR ENDLINE

Majority of values are either based on:

- Average values from 2016-2019 or
- 2019 values as previous reporting period had inconsistent levels of reporting detail.

When considering values for South Africa, it is important to note that Fighting inequality was not supported by NCA SA between 2016-2019, and only started receiving formal support towards the end of 2020. Such support was however not linked to typical activities such as research outputs or hosting events.

Surveys were undertaken remotely during a period of COVID-19 enforced lockdowns and travel restrictions. The Survey Monkey platform which was used is accessible via smartphone and computer, and deployed for self-completion by respondents (i.e. no interviewer either in-person or virtually). This meant low responses were received from stakeholders, particularly those in impoverished settings that have limited access to affordable and reliable internet connectivity. When undertaking the midline and end-line evaluations it is advisable to:

- Shorten survey length.
- Extend period during which survey is open for collection of responses.

The low survey response levels were compounded by the timing of the project. The project was undertaken from December 2020 up until February 2021. Availability of partners and stakeholders from +-13 December 2020 up until +-15 January 2021 was thus severely constrained as:

- Many organisations enforce annual shutdowns of their offices (physical and virtual)
- Multiple partner representatives and stakeholder representatives would have taken extended annual leave around this period as it coincides with school holidays and multiple public holidays such as Christmas.

Similarly, the latter parts of the study (circulation of draft, review of draft, workshop based on drafts) coincided with the

2021 South African alternative Mining Indaba. This meant a lot of the partners and stakeholders were overcommitted during this phase of the period, which may have influenced the nature of responses provided. It would thus be prudent to ensure that mid-line and end-line evaluations of the baseline are scheduled to avoid such clashes.

# Findings from Survey respondents

Whilst the quantity of survey responses was low, the quality of open-ended responses was high. This section provides an overview of some insights arising from analysis of the survey responses.

## Impact of partner activities on individual respondents from target communities

Most of the respondentias indicated that the biggest impact of these activities are that their "voices are being heard" and that it enables a platform for dialogue and collaboration. For example, the respondents expressed how they are invited or consulted to give their opinion and that their voices are recognised and illustrated how these activities helped them to learn engagement skills, serve as platforms to share ideas and knowledge, and enables them to also create similar platforms for engagements and collaborations between various stakeholders.

Some of the respondents also indicated that the activities helped them to become aware of their rights and to operate form an informed position. Other notable mentions include advocacy, training of others, and being able to be included in decision-making bodies and a secretary of a trust. Some of the respondents use these new and improved skills and knowledge to share with and/or enhance their communities.

## Impact of partner activities on Target communities

Respondents were asked about the impact of these activities and the partner organisation on the broader community, government, mining companies etc. Several of the reported impacts relate to increased engagements, and community action and participation. Such as "involving communities in policy making and decision making", "bringing government to the people", bringing the community and other stakeholders together and "being able to carry peaceful dialogues...", companies being able to negotiate with local people", and "we collectively as communities we managed to get justice".

Some of the key impacts pertaining to policies, norms and practices include "positive change in the manner our government is consulting the CSOs in policy formulation." and a positive change in the national budget process due to various budget-related consultations, the impact consultative engagements regarding the Mines and Minerals Bill. Other notable impacts include increased awareness and knowledge, and "youth have established a group which will be used as the vehicle to help the community".

Public sector duty bearers corroborated this view, indicating that collaboration with NCA partners allowed them to incorporate more 'grassroots' information when designing national policies.

## Target communities' suggestions on how to improve the programme:

Sixteen respondents provided recommendations on how the partner organisation can improve these activities and engagements to address/ fight inequality and strengthen civil society. The recommendations can broadly be clustered under the following three main categories; collaborations, financial support, and increased capacity building. More specifically, the respondents suggest increased collaborations with other stakeholders and organisations, especially at local level (e.g. grassroot CSOs and CBOs).

The recommendations pertaining to financial support include financially supporting community dialogues, funding ward indabas, providing funding for community-driven activities, offer airtime for communication and "provide financial support to spread the information and skills". While the recommendations pertaining to increased capacity building include training community gatekeepers on capacity building, "more trainings on community resources management and development", "empowering the smaller organisations or CBOs and avail materials for locals to read", "make follow up. and give extra sessions".

## Target communities' suggestions on how to improve increase impact:

Six respondents provided recommendations on how youth, women and other minority groups should be supported for better participation and increased impact in NCA and partner programming moving forward. Most of the recommendations pertain to increased training and awareness, and the provision of financial support (for example, covering their costs to attend the activities).

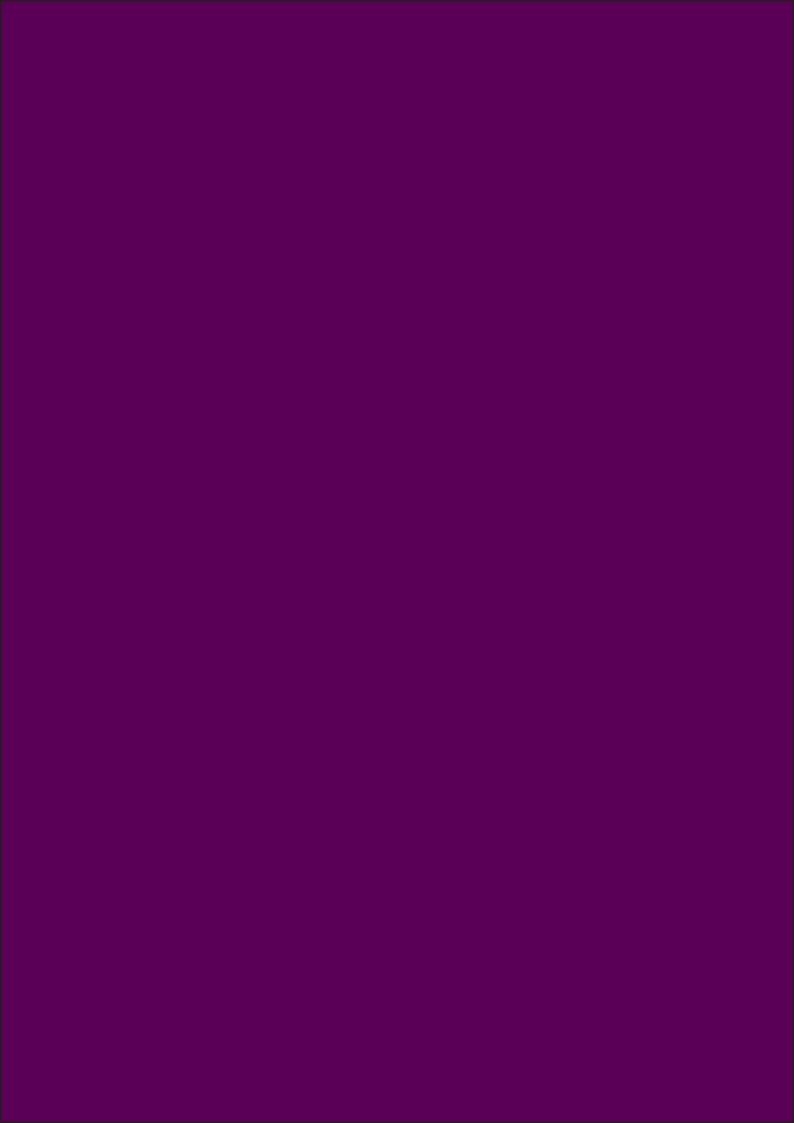
## ANNEX – TERMS OF REFERENCE

The technical scope of the baseline study includes:

- Develop quantitative and qualitative baseline data by assessing the status of the programme areas as stipulated in the 2020 strategic plan and results framework.
- Develop core quantitative and qualitative indicators to be used for accurately measuring the changes in Fighting Inequality Programme over time
- Incorporate baseline information in the results framework including gender, age disaggregated qualitative and quantitative data.
- Identify key strengths, weaknesses, opportunities and threats and other relevant factors to the successful implementation of the Fighting Inequality work based on the objectives set out in the strategic plan and make recommendations for improvement.
- Develop study design, methodology, planning and quality control procedures.
- · Reviewing existing information, preparing outlines, including the development of sampling methodologies
- Finalizing workplan and checklists, guestionnaires and guidelines
- Ensure incorporation of all COVID19 measures and restrictions: in the context of the COVID19 pandemic, the
  consultant is expected to undertake the work fully within the scope allowed by COVID19 WHO and national government guidelines.

# **DEVIATIONS FROM TERMS OF REFERENCE**

Terms of reference deliverables	Delivered by Urban-Econ		
Inception report for approval by NCA before kick-starting	❖		
the assignment. The inception report should include de- tailed description of methodology including data collec-	1st draft submitted on 4 December 2020		
tion tools and strategies, account for ethical approaches	2 <sup>nd</sup> draft submitted on 7 December 2020		
to data collection, a work plan and a quality assurance plan.	Approved inception report submitted on 14 December 2020		
Final data collection tools. Where relevant, the collection	≪		
should be undertaken and stored using kobo.	Submitted as:		
	Annexure: Interview guide		
	Annexure: Target communities survey		
	Annexure: Faith leaders & traditional leaders survey		
	Annexure: Public sector duty bearers survey		
	Annexure: Private sector duty bearers survey		
Provide NCA with all the raw collected data, interview	≪		
transcripts and summaries.	Submitted as:		
	Annexure: Meeting notes		
	Annexure: Meeting recordings		
	Annexure: Redacted survey results		
The list of all respondents reached during the study.	≪		
	Submitted as:		
	Annexure: Record of contact		
Presentation of draft baseline report to NCA Steering Group with focus on findings and analysis of findings for feedback by NCA Steering group. Consultant should share lessons learnt (challenges and opportunities) from data collection — these will inform on-going reporting for the programme and the end-line study process	Steering group decided to combine this presentation with stakeholder validation workshop given restrictive project time frames		
Validation workshop including presentations from the			
workshop.	Undertaken via MS Teams on 9 February 2021		
Baseline values as per the indicators in the results frame-			
work.	Indicator on "# of partners who have increased their scores on capacity development areas (identified in Partnership Assessment Tool)" completed partially as not all partners had been assessed by the NCA based on the latest Partnership Assessment tool		
Presentation of final written baseline report, maximum	≪		
40 pages (excluding annexes) and in English.	1st draft submitted 5 February 2021		
	2 <sup>nd</sup> draft submitted 10 February 2021		
	Comments received on draft reflected in this report		



# Together for a Just World

Norwegian Church Aid works to save lives and seek justice. Our support is provided unconditionally with no intention of influencing anyone's religious affiliation.

Norwegian Church Aid is a member of the ACT Alliance, one of the world's largest humanitarian coalitions. Together, we work throughout the world to create positive and sustainable change.

To save lives and seek justice is, for us, faith in action.

