

# **Rosa Luxemburg Stiftung**

## **The Centre for International Dialogue and Cooperation**

### Terms of Reference for Evaluations

Evaluation within BMZ Programme No. PN2019 2829 0/RLS0033

Components F, G, H concerning East Africa 2020-2022 and

BMZ Programme No. PN 2015 2829 8/RLS0017 2016 - 2019

#### **OUTLINE OF THE TERMS OF REFERENCE**

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## I. Background, Context and Rationale for the Evaluation

The Rosa-Luxemburg-Stiftung (RLS) is a German political foundation that is part of the democratic socialist movement. True to the legacy of its namesake Rosa Luxemburg (1871-1919), it stands in solidarity with the workers' and women's rights movements. The organization serves as a forum for debate and critical thinking about political and economic alternatives, as well as a research centre for social development. The RLS has close ties to the German party DIE LINKE.

The RLS has been accompanying political, socio-economic, and social developments in East Africa since 2009 and is running the regional activities with a RLS regional office in Dar es Salaam, Tanzania since 2011.

East African societies that are entrenched in (global) economic structures of exploitation can be characterized by social inequalities, including gender inequalities, and exclusion of large groups of the population from the legal sphere. The current programme aims at strengthening local actors, civil society groups and communities to claim their rights and to develop left alternatives to initiate progressive policy-making processes and a transformation based on social justice and safeguarding the ecology, which aims to overcome colonial, class-specific, and patriarchal power relations. The programme also attempts to inform policy making on the level of developing or reviewing legal frameworks, policy guidelines as well as multi- and bilateral treaties.

In the current funding period, the regional office in Dar es Salaam is overseeing projects in Tanzania, Kenya, Uganda and Rwanda.

The RLS is registered in Tanzania as an International Non-Governmental Organisation. This status allows us to carry out activities on our own account. However, given the political context the organisation is operating in which self-implemented activities are interpreted as potential interference in addition to its organisational profile as a provider to knowledge production, deliberations and process development, most activities are organized together with/implemented by local partners, i.e. civil society organizations, think tanks, etc.. Appropriate partners should be deeply rooted in regional societies we work in, they should be striving for alternative counter hegemonic developments and be part of the movements and communities that have the potential to contribute to changes. In many cases, partners use a strategic, transformative approach that aims to transform social relations. It focuses on problems and developments which are rooted in structural causes of exploitation, such as differential access to and control over productive and political resources and benefits. Hence, a transformative approach takes relations of power and the way society is organised into account. It can therefore be characterized by the following criteria<sup>1</sup>:

- a.) Long-term
- b.) Relates to disempowered positions
- c.) Addresses basic causes of disempowerment that are not always identifiable by the people concerned
- d.) Involves people as agents or enable people to become agents
- e.) Aims to transform the position/relationships of people in society

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<sup>1</sup> Mbilinyi, M.: Transformative Adult Education in the Age of Structural Adjustment, *Adult Education: Issues for the Future*. Proceedings of the University-Based Adult Education Conference (Stellenbosch, South Africa, April 14-16, 1993); <https://files.eric.ed.gov/fulltext/ED374231.pdf>

Seeing limitations of our budgets becoming more and more of an issue, developing criteria what project and which partners to cooperate with will gain importance. As we have been witnessing unexpected results in terms of a strengthened agency in decision making and organization in constituencies our partners work with, our aim is to gain a better understanding of the mechanisms that fostered such developments. We not only rely on partners in the implementation of projects that they develop in dialogical exchange with us, which limits our direct influence on the content of the projects we fund. We also have to think about processes that cut across elitist cycles of knowledge production by including the people on the ground our partners work with into conceptualisation, reporting, monitoring and evaluation.

The office's work on the programme involves issues such as utilisation of natural resources for the benefit of the people and promotes measures that contribute to critical knowledge building and to the self-determination of local population groups. Alternative approaches of economy and trade, of the cooperative system or cooperative forms of ownership and production, and the strengthening of micro and small enterprises in the agricultural sector are supported to intensify the interface between practice and theory development. Another important area of our work is centred around defending and broadening democratic rights as well as historical-political work and analysis.

The current programme of RLS is built on the existing cooperation with partner organisations in the region, which was initiated or further developed in the last program cycle (2016 - 2019) in order to support groups within Political Society<sup>2</sup> in the independent articulation of their demands.

In general, customary land rights and other land rights regimes play a prominent role in the different fields of RLS work as described above as well as in three out of the four programme countries (Uganda, Kenya, Tanzania) as land has been central to conflict in the region.

Land is central to production on individual as well as national level (majority of the population are still smallholder farmers who - as Corona has shown - are capable to feed their nations). Land builds a crucial feature in individual identities; land embodies a field that oscillates between public good and private property.

In all three countries, there is growing pressure on the use of land and increased competition through its commodification, the industrialisation of agriculture, the industrial agenda, the expansion of the extractive sector and population growth. Interventions by RLS partners are taking place in a contested context which is fuelled by the thrive to privatization particularly financed by Western donors for different reasons (secure tenure, inclusion into capital circulation, etc).

Achievements in the enforcement of land rights and compensation have been achieved primarily through direct communication between the local population and the political elite, mobilisation and protest, which in the past has also been reflected in changes to legislation or the enforcement of the existing legal framework. Nevertheless, women's access to land

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<sup>2</sup> The term „Political Society“ in post-colonial societies classifies subaltern groups not as members of civil society but as groups that operate in the political sphere by interacting with the State directly. Even though they may engage in illegal activities (such as squatting), they also form organisations to make moral claims about their illegality and to negotiate with government agencies (and other sectors of the civil society) in order to receive benefits as a population groups. (Partha Chatterjee: Politics of the Governed, 2004)

is still limited/undermined – even though they might be recognized as right holders. This translates into risks of achieving food sovereignty that might fuel a vicious cycle of gender violence cementing even further hierarchical gaps in gender relations.

The evaluation should provide analysis recommendations on how projects on land based investments, especially those that have targeted and made achievements on the policy level have been translated into concrete changes for the population with a special focus on working women. It also serves to explore how a more gender focused approach can be established. In addition, it shall identify new opportunity frontiers/niches for future cooperation and support that shall help inform and shape the planning of the RLS strategy on natural resource governance for the future project cycle 2023–2025.

The programme is being implemented with funds from the Federal Ministry for Economic Cooperation and Development (BMZ). The regional programme is part of a continental programme.

The overall objective (long-term vision, impact) of the continental programme is as follows:

*Acknowledging the diversity of African countries and of the political actors in politics, civil society, and academia, the programme aims at democratizing the local, national and regional forms of government, at implementing global social rights and at developing left alternatives to initiate progressive policy-making processes and a transformation based on social justice and ecology which overcomes colonial, class-specific, and patriarchal power relations.*

In the current programme cycle (2020-2022), we are working toward this overall objective by way of three thematic areas, called programme components, each of which has its own programme objectives. The programme objectives apply for each three-year funding period and are at the level of direct effect. The achievement of the objectives is monitored by means of indicators, defined during the strategic planning and monitoring workshops and documented in the results chain documents.

The Evaluation topic centred on land-based investments is cross-cutting in all of the 3 components of the current programme, which are components F, G and H of the continental programme.

## **Component F: Strong role of political players in natural resource governance**

### **Programme objective:**

Communities affected by large-scale infrastructure or extractivism projects, environmental degradation and climate change are increasingly demanding their right to gain control over social and economic production processes. Their demands are increasingly successfully implemented through community action, mediation or legal proceedings.

Indicator:

The number of demands made by the affected population groups (e.g. for compensation, appropriate resettlement of entire communities, prevention of environmental damage) that have been successfully implemented through community action, mediation or legal proceedings.

2020: 1

2021: at least 1

2022: at least 2

## **Component G: Socio-economic alternatives for the East African region**

### **Programme objective:**

Players in the fields of science, civil and political society contribute to an alternative discourse to the hegemonic neo-liberal model and develop economic approaches as a frame of reference for alternative models, theories and practices, which are reflected in revised sectoral policies and legislation in the form of progressive elements.

### **Indicator:**

To enact numerous laws and regulations (national policy frameworks in the thematic fields of seeds, food sovereignty, agricultural cooperatives, micro and small enterprises, trade and investment) that contain progressive elements in their amendment.

- Criteria: Progressive elements are defined as elements that go beyond the theoretical framework of the growth concept such as competitiveness; contribute to the reduction of structural inequalities, the development of competencies and a shift of power from central to decentralized administration. In concrete terms, they are linked to the promotion of social justice, ecologically responsible production and consumption and democratic decision-making processes in the economy.

The target is at least one law/regulation with progressive elements per year during 2020-2022.

## **Component H: Alternative fields of Critical Thought, Analyses and Dialogue**

### **Programme objective:**

Alternative discussion fields can be created, offered and secured and are used as centres for critical commentary on political-economic and historical conditions

### **Indicator:**

Linkages are created between groups excluded from mainstream discourse (peasants, indigenous people, slum dwellers) among themselves or with left activists, academics or artists. These linkages are visible in joint projects or research activities, campaigns and media contributions.

One linkage initiative per year.

The evaluation of the programme will take place in the middle of the 2020-2022 funding period. It should shed light on the period 2016-2021 so that the evaluation results can best be incorporated into strategic planning for the next funding period (2023-2025), which will take place in the first quarter of 2022. The Dar es Salaam Regional Office currently has 10 local staff including four programme managers, a finance and administration team of two people, and one office management and administrative staff member.

The RLS sees evaluation as a learning process that provides support for the conception, management, and implementation of its projects. The aim is also to ensure that the partner organizations involved are made aware of the objectives of the evaluation and participate in the research production process. It is considered a prerequisite for the success of the

evaluation that those involved (RLS employees, representatives of partner organizations) are included in the process, are allowed to participate in the interpretation of results and can access the final research outcomes. The evaluators will assume an advisory role, which means that they should focus primarily on reflection, learning processes, and dialogue. The evaluators should also adhere to the DAC principles and standards, DeGEval standards for evaluations, and the BMZ evaluation criteria.

## II. Purpose and Objectives of the Evaluation

The evaluation serves to gain knowledge and insights on the impact and perception from affected communities and direct beneficiaries of the RLS supported measures on land based investments taking into account the current range of partners and their activities.

The objectives of the evaluation are:

1. To gain insights into the perceptions and understanding of different groups related to land based investment on how RLS interventions and approaches inform their decisions and actions. This includes to inquire whether partners appreciate RLS's ideological positions, which informs its interventions.
2. To assess the extent to which RLS interventions and approaches support women in negotiating their rights as to the access and use of resources
3. To receive feedback and proposals from partners on ways to improve cooperation and communication with RLS office, focusing in particular on partners responses to the ongoing pandemic, as well as on how to encourage synergies amongst partners and if possible, with other likeminded organisations.

The primary purpose of the evaluation is to deepen understanding of impact of supported processes and interventions to inform the strategic planning of future programmes. This concerns the formulation of future programmes and the co-operation with partner organisations. In addition, the evaluation serves to ensure that the programme is prepared and adapted to the specific requirements of the East African regional office of a German political foundation, particularly in the context of increasing political pressure on progressive actors critical of the government in many countries of East Africa.

The results shall be used by the office for the strategic orientation of new partner projects. The results benefit the partner organizations by making their projects part of a broader engagement for land based investment projects and integrate a more gendered approach.

The stakeholders are primarily partners and representatives of beneficiary groups and communities, the staff of the regional office (local staff and office management) and the Africa unit in Berlin, because together they shape the future strategic orientation of the office. The Centre for International Dialogue and Cooperation (CID) at the RLS in Berlin should also be considered a stakeholder, because learning processes related to the RLS's work are also relevant to other contexts and regions.

Regional partner organizations are NAPE, LANDNET, FRA, ILEPA as well as HAKIARDHI for conceptual understanding, e.g. land monitors who are in many instances women.

In order to ensure participation of partners and stakeholders, to start a conversation on the evaluation themes, consider their feedback, integrate their priority areas, make partners to engage on different approaches of the evaluation a steering committee of max. 12 people will

be set up for the entire cycle of the evaluation (data collection, interpretation, feedback / recommendations, program development).

The Steering Committee consists of one representative of each partner organization, who nominates one representative from the different beneficiary groups. Scientific experts and government representatives working on the thematic area might be invited. The role and responsibilities shall be developed in the course of developing the inception report of the evaluation through a joint workshop with the team of evaluators.

The recommendations from the evaluation will also inform other partners like Seatini Uganda and the Tanzania Coalition of Trade and Investment on their work on investments on land /bi-lateral investment treaties

### **III. Subject Matter of the Evaluation: Evaluation Scope**

The evaluation will cover the duration of the previous programme cycle starting from 2016 to 2019 and it will also take into account activities from the current programme cycle starting from 2020 to 2022.

#### **Evaluation Questions**

Evaluation questions set the parameters of the evaluation and when answered, will give users of the evaluation the information they seek to make decisions, take action or add to knowledge. Below is a list of questions that form the centre of the evaluation, hence must be included in the overall questionnaire to be developed by the evaluators. This includes further refinement of the questions listed below (e.g. concretized and transformed in open questions). The questionnaire will be made subject to final adjustments via discussion and feedback on the inception report.

#### **1. Effectiveness of the RLS programme in the specific and changing socio-political context**

- To what extent have RLS partner interventions and approaches informed policy development/policy changes and whether or how have these changes been put into practice?
- Do partner organisations appreciate RLS' ideological positions, which informs its interventions?
- What was the impact of these changes on the life of affected people?
- How do beneficiaries and other stakeholders perceive and understand RLS/ partner interventions and approaches within the land rights movement?
- Have RLS or partner interventions informed their decisions or spark actions against the backdrop of privatization thrive and other policy approaches pushed for by other stakeholders (development partners/investors/elite groups, etc.)
- Have RLS or partner interventions translated into other spheres for organization and movement building in the sense that independent initiatives have been initiated and are maintained?
- Have RLS supported partner programmes informed interventions and approaches of other stakeholders, in particular in umbrella organisations? Is there any kind of spill over effect within the same or other districts?
- Have partner organisations participated in political stakeholder processes on land/land policies by articulating their positions?
- Does effective coordination within umbrella organisations translates into increased visibility and effective articulation.
- To what extent have narratives on land informed by RLS partner interventions and approaches been taken up and discussed in the wider public and political space?

- Have particular narratives contested dominant narratives (privatization) and if so, how was/ could this be achieved?

## 2. Related or unintended impacts of the programme on women

- What are the programme related and unintended impacts of programme interventions on women?
- Has the position of women been strengthened in negotiating access to land and use of other resources and decision making?
- Can these changes in the status of women be maintained?
- Are there indications that such status gains are strengthening their position in negotiating for other rights (e.g. hierarchies in gender relations, women's role in production); and position in land rights struggle?
- How can RLS improve strategizing for the support of women's agency in struggles on land?

## 3. Cooperation with RLS

- How do partners cope with the administrative demands of RLS?
- How partner organisations perceive communication and collaboration with RLS office in particular in situations of rapid changes and crisis.
- What are new opportunity frontier/niches for future cooperation and support?

## **IV. Approaches and tasks of the evaluators, roles and responsibilities**

The evaluators have the main responsibility for the planning, implementation, and reporting of the evaluation. The evaluation is to be carried out by one German and one East African evaluator. The division of work between the evaluators will be agreed upon by the regional office and the unit. Overall responsibility lies with the German evaluator.

The appointed evaluators liaise with the steering committee for the evaluation and prepare an inception report based on a joint workshop and these terms of reference. Further tools may include initial interviews with the primary stakeholders and the inspection of necessary documents (e.g. programme applications, reports, etc.). The inception report should provide information on the planned implementation of the evaluation and include the methodology, a schedule and a work plan. The inception report should be written in English.

The appointed evaluators will conduct a systematic, empirical evaluation study, which will provide conclusions and recommendations based on the objectives and purposes of the evaluation as defined in the terms of reference.

At the end of the fieldwork phase, the evaluators will present the main results to the RLS office in Dar es Salaam and the steering committee. After the fieldwork phase, the appointed evaluators will prepare an evaluation report, which includes the findings, conclusions, and recommendations. The evaluation report should be available in English, and there should also be an executive summary in German.

The main results and recommendations will be presented to the Centre for International Dialogue and Cooperation (CID) at RLS headquarters in Berlin.

On the basis of the recommendations in the final evaluation report, the evaluators, the RLS Office East Africa and the steering committee will develop an implementation plan together in workshops and/or similar suitable formats.

Data collection: Data collection takes place in Berlin, Germany, Dar es Salaam, Tanzania, Uganda and Kenya and other places as defined in the inception report. Planning documents will be analysed and interviews will be conducted with local staff of the regional office, office management, representatives of partner organizations, beneficiary groups, the Africa unit in Berlin and other relevant persons. Group interviews and participatory data collection methods are welcome.

#### **Data Collection:**

- a. Documentation review: This would include amongst others
  - i) the RLS East Africa Programme Document with the description of the programme cycle 2020-2022 as well as 2016-2019, Result Chains: F,G,H; partner evaluations, monitoring reports, articles, secondary literature (HakiArdhi, Issa Shivji, etc.)
  - ii) Project Progress Reports;
  - iii) Project Technical Reports including training materials, publications, etc.

Key participants interview with RLS East Africa Regional Representative Dorothee Braun, RLS East Africa Programme Managers, and key focal persons of partner organizations, stakeholders and beneficiary groups in the region.

Participation: The staff of the regional office, the steering committee and the Africa unit in Berlin will be involved in the most important steps of the evaluation.

Compliance with professional standards, guidelines, and criteria for evaluations is required, namely those of OECD-DAC (2010 a, b) and DeGEval (2001, 2003). The RLS attaches particular importance to standards that ensure the fairness of the evaluation and those which increase the usefulness of the results and the likelihood of their utilization. Responsibility for compliance with the quality requirements lies with the evaluators.

The RLS regional unit and the regional office make all documents (planning documents, applications, reports, etc.) available and provide contact details for the partner organizations.

## **V. Report and additional evaluation outputs**

The evaluation report has the following standard structure. It will be adapted within the framework of the inception report. It begins with an executive summary (4-6 pages, designed for publication) and contains final recommendations for each of the areas to be evaluated. The evaluation report has a length of 30–40 pages. The evaluation report is to be prepared in English and an executive summary in German.

### Standard structure for evaluation reports

#### *I. Summary*

Important: an executive summary for the client; central findings and corresponding recommendations, including the primary recipients of the particular recommendations

#### *II. Preliminary Remarks*

Issues to be addressed: methodology (in brief, more detailed in chapter III.), activities, the timeframe of the evaluation, set-up of the evaluation team, participation of partner organizations in the evaluation

#### *III. Presentation and Rationale of the Evaluation Study's Design*

A more detailed and comprehensible description and justification of the evaluation study's design, i.e. methodology, specific procedures, self-reflection or self-review of the evaluator with regard to the evaluation process, limits/scope of the findings, quality criteria.

#### *IV. Short Description of the of Programme Components within the Framework of the Regional Programme*

Idea and concept, functioning, target group, objectives of programme components, integration of the concept into the overall RLS programme

#### *V. Short Presentation Framework Conditions*

#### *VI. Results of the Evaluation*

Findings / Results for each of the evaluation questions

#### *VII. Conclusions*

Conclusions drawn from the findings; from project-specific (if any), to programme-related, to overall conclusions; should be related to the evaluation questions

#### *VIII. Recommendations*

Any recommendations assigned to the underlying findings and primary recipient of the recommendations

#### *IX. Supplementary Remarks*

#### *X. Appendices*

Work flow, travel itinerary, questionnaire, sources

The inception report is another important output, which is to be coordinated with the PM&E unit after preliminary discussions and review of relevant documents. The inception report is based on the terms of reference as well as verbal recorded agreements with the PM&E unit of the CID-RLS and, if necessary, with the relevant regional unit and/or regional office of the CID-RLS. The inception report is to be prepared in English.

The methodology that will be used by the evaluators should be presented in the inception brief and the final report in detail. The methodology must be agreed upon between RLS East Africa, the evaluators, and the steering committee before the start of the evaluation.

Further evaluation outputs, such as presentations from the final on-site workshop, the minutes of the final discussion, etc. are to be attached to the final report.

If appropriate, publications in internal periodicals (newsletters, RLS newsletters) and publications or presentations in external expert forums can be provided.

In general, the CID–RLS is interested in publishing results about its work and collaboration with its partners worldwide. If one of the parties to this evaluation wishes to publish evaluation results, data, or information about the evaluation process, written consent from the CID–RLS must be obtained.

## VI. Form of the Evaluation

This evaluation contains both formative and summative elements. The evaluation supports organizational learning and is intended to be incorporated directly into the planning process for the next funding application.

Depending on the situation, the fieldwork phases may have to be carried out digitally. This depends on travel restrictions and infection rates due to the Covid-19 pandemic.

The fieldwork phase will last approximately 12-14 days and is planned for end of January/ first half of February 2022. This will be preceded by a comprehensive study of the documentation. Following this major phase of the evaluation, the evaluators will present an evaluation report with the main results and recommendations (see above). On the basis of the recommendations, the evaluators and RLS East Africa will develop in a (online) workshop an implementation plan.

The evaluator from East Africa/ members of the steering committee will attend the kick off workshop with the team of evaluators and RLS East Africa. In this workshop RLS East Africa will define programme objectives and indicators for the next funding application.

The evaluation will take place between August 2021 and March 2022. The final evaluation report should be available in March 2022 at the latest.

## VII. Time-frame for the evaluation process

The tentative schedule is as follows and will be reviewed with the evaluators:

Date	Place	Activity, comments
05.07.-04.08.2021	Tanzania/ Kenia/ Uganda, Germany	Tender
05.8.-16.08.2021	Tanzania, Germany	Selection Evaluators
Before 06.09.2021		Kick-off Exchange
15.11.2021		Receipt of Inception Report, this includes accommodating responses from RLS Tanzania as well as the Steering Committee
Until 18 <sup>th</sup> Feb 2022	Tanzania, Kenia, Uganda	Field Phase
21.03.2022		Draft Evaluation Report
4.04.2022		Commented Draft Evaluation Report
18.04.2022		Final Evaluation Report
Until 18.04.2022	Dar es Salaam	Workshop Implementation Plan
	Berlin	Presentation of Evaluation
April 2022	Dar es Salaam	Planning Workshop

To facilitate the evaluation process, RLS East Africa Programme Managers will assist with the organization of meetings with the relevant partners and development partners, institutions and key stakeholders. RLS East Africa Programme Managers will be

responsible for preparing and coordinating the full agenda of the final evaluation in consultation with the relevant national and international stakeholders. It is anticipated that the mission will meet RLS East Africa Partners in the region physically and via zoom, as the travel constraints of the COVID, -19 Pandemic would allow.