**pen**
Partnerships 4 Empowerment
& Networking in Kenya

# STRATEGIC PLAN 2022 – 2026

# Contents

# Acronyms & Abbreviations

CoPs    Communities of Practice

CSO     Civil Society Organization

CSPP    Civic Space Protection Platform

CSRG    Civil Society Reference Group

IEC     Information, Education and Communication

NGO     Non-Governmental Organization

PBO     Public Benefit Organization

PMDC    PEN Management and Development Consultants

# Foreword

Since we commenced our operations 20 years ago, PEN's outstanding work with communities, civil society and government has demonstrated our commitment to building alliances for better lives. As a key player in the sector, we strive to build partnerships among communities, the civil society, government and the private sector. We believe that if the key players can work together and leverage on each other's strengths, then a better society with empowered communities and citizens will emerge. PEN's profile within the civil society sector and among citizens, and from other development stakeholders has continued to grow and it is therefore an opportune time for us to consolidate our strengths and identify opportunities for further improvement of our work among our various stakeholders.

After extensive consultations with the various PEN stakeholders, a new Strategic Plan for 2022 – 2026 has been developed. We have taken into consideration the changing global trends and the Kenyan context to consider, as priorities, the need to strengthen the effectiveness and sustainability of citizen's organizations and public institutions; citizens engagement and participation in public affairs; building resilient communities; and, institutional strengthening of PEN.

Citizens and their organizations are always our first priority at PEN as we pride ourselves in working together with them to transform their communities by putting them at the center of their development. We will continue to build partnerships between them and various government agencies and the private sector to ensure that together, we build resilient communities.

We take this opportunity to offer our sincere gratitude to all those who have contributed to the various stages of the formulation of this Strategic Plan. We call on the continued support of all our stakeholders to make this plan a success.

Chris Mbiti,
Executive Director,

# Acknowledgements

PEN expresses gratitude to its staff who put in a lot of effort in reviewing the previous strategic plan and picking up lessons that were very instrumental to the development of this Strategic Plan.

We also express appreciation to PEN's Board of Directors for their continued support and providing strategic oversight and guiding the staff in picking the key priority areas for PEN's interventions.

PEN also wishes to recognize the input and feedback on our programmes given by various partners drawn from partner CSOs, County Civil Society Networks, funders and various leaders from the civil society sector. Their continued insights and critiques helped us focus better on translating our interventions to impact.

Finally, PEN also wishes to commend the Consultant, Dr. Katindi Sivi of LongView Consult for providing technical support and facilitating the final drafting of this Plan.

# Building Alliances · Better Lives

# 1. Introduction

## 1.1 Organizational Background

PEN is a Kenyan Non – Governmental Organization (NGO) registered since December 2001 as Poverty Eradication Network. PEN believes that a strong civil society sector is fundamental to the development of any country and its ability to have sustainable impact upon poverty. PEN was established to contribute towards the eradication of absolute poverty in Kenya, through building and strengthening the institutional capacity of civil society organizations (CSOs) and other not-for-profit organizations and public institutions.

PEN recognises that in order to support communities to be responsible for their own development, CSOs must deliver impact and ensure their own long term viability. Strong and sustainable civil society groups require not only highly motivated, committed and competent leadership, but also good governance, strong management, clear strategy, successful fundraising, demonstrated results, public profile, and effective policies, procedures and organizational systems. CSOs therefore need affordable, appropriate, competent and effective capacity building inputs and support, if they are to build upon their innate capacity and strong commitment to their causes.

PEN works with four main stakeholders: citizens, their organizations (CBOs, CSOs etc.), public sector and private sector, to enhance coordination and networking with the key aim of making citizens to be at the centre of all development processes. PEN currently has built partnerships with a number of organizations and movements across the country (both at national and county levels) and continues to partner with county government departments in selected counties.

## 1.1 Organizational Background
### 1.2.1. Achievements

Over the 2018 – 2020 period of implementation of the last Strategic Plan, PEN achieved the following successes:

- PEN was able to build resilient platforms at the county and national level that CSOs could use to share information for collective actions, and for engagement with other stakeholders in development. These platforms continue to champion for an enabling civic and democratic space that is able to enhance the work of the civil society and other civic actors.

- While working directly with communities, community champions and their organizations, PEN was able to assist them demand for better services from their various counties. Through this support, communities in 8 counties were able to contribute to the county planning and budgeting processes, an exercise that ensured that their priorities were budgeted for and implemented. This ensured that the downtrodden in the society are now able to access essential social services like healthcare, education, water and markets among other targeted interventions.

- Major progress was made towards guaranteeing an enabling civic and democratic space in Kenya with PEN and partners continuing to advocate for the commencement of the PBO Act and to respond to new issues and laws that may affect the civic and democratic space. Towards this end, we were able to develop a harmonized draft PBO Regulations, build capacities of CSO leaders towards compliance to the Act and create and/or strengthen County PBO Self-Regulation Forums in a number of counties.

- PEN was able to initiate public and sectoral conversations on various issues in the public realm. Towards this end, and together with other civil society partners, we were able to develop a Public Interest Scenarios Report on the Impact of Building Bridges for Unity Initiative (BBI) and the 2022 Kenya General Elections by 2025. This report is not only a conversation starter, but also a key document in strategic planning, fundraising and interventions.

- We worked with CSO leaders to build their leadership and organizational capacities on civic space, public finance management and governance with the aim of ensuring that there exist effective and sustainable organizations able to deliver on their mandates.

- Building resilient communities through supporting the Mutulani Schools and Community in Makueni County to access water for use. Through the Mutulani Integrated Water Project, we have been able to drill and equip a borehole where the local secondary and primary schools and the dispensary are able to access clean water for their use.

## 1.2.2. Lessons Learnt

From the previous Strategic Plan period, PEN was able to derive some lessons while implementing its programmatic interventions. Key among the lessons include:

- Need to formalize relationships with County Governments and Civil Society Networks for more coherent partnerships and collaborations.

- Need for continued advocacy for collective action by the civil society organization. Sector fragmentation is still evident.

- Need to continue building up the capacity of community champions on various issues where we focus our interventions on.

- The quality of knowledge generated from the various interventions form a big part in learning and adaptation across programme areas and project locations thus should be enhanced.

- Continued enhancement of PEN's internal capacity to adapt to various dynamics ensures ease in translating interventions to impact.

- Deepening the integration of technology in our programmes implementation enhances our reach and effectiveness.
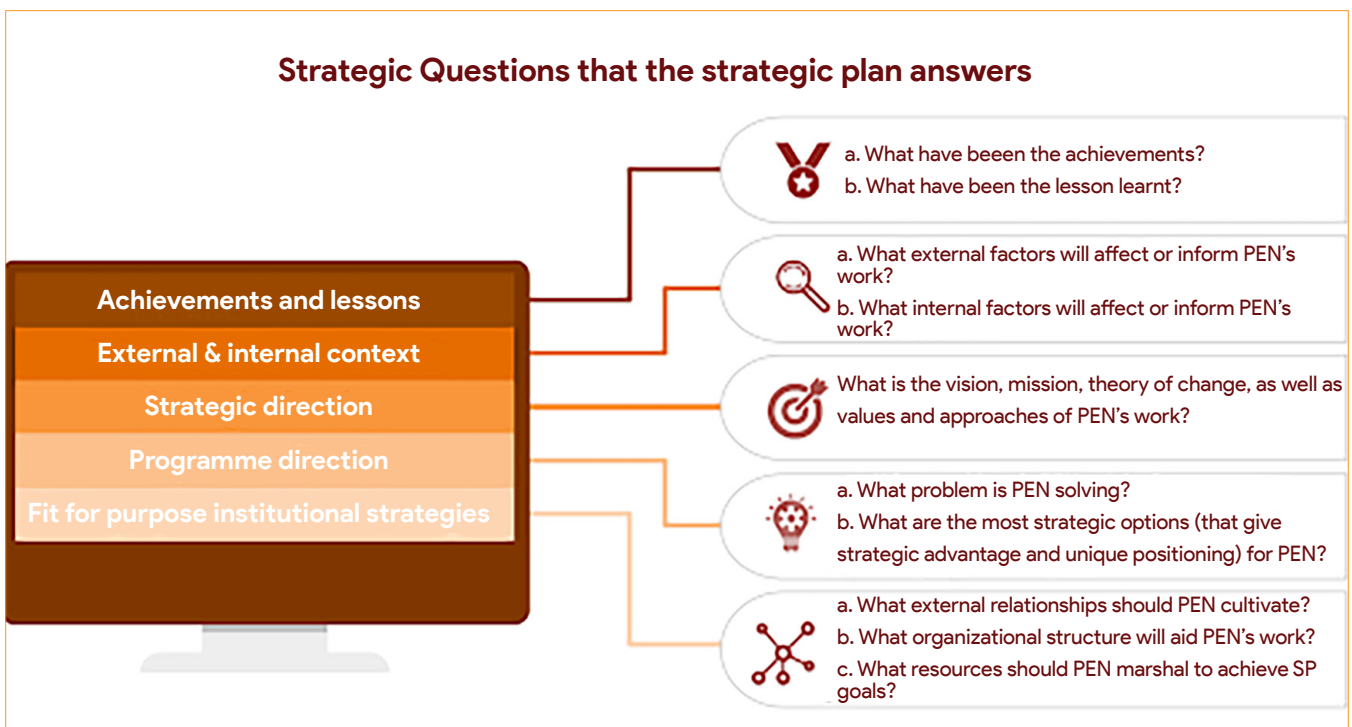
## 1.3 The Strategic Planning Process

The Strategic Planning Process involved an internal review of the Strategic Plan (2018 – 2020), noting its key successes, challenges and lessons learnt from its implementation. This review also looked at how PEN can improve its programming in the new Strategic Plan period in light of Covid-19 pandemic, lessons learnt and the changing context of our work.

A Strategic Planning retreat was held where the staff and selected partners were able to brainstorm on the key priorities for PEN, key strategies and the changing context of PEN's work and what the future of PEN's work should be. It is through this exercise that this document was prepared.

## 1.3.1. Strategic Directions of the 2022 – 2026 Strategic Plan

All the information gathered was used to compile the 2022 – 2026 Strategic Plan. The objective of the plan was essentially to answer the following strategic questions.

**Strategic Questions that the strategic plan answers**

Achievements and lessons
- a. What have beeen the achievements?
- b. What have been the lesson learnt?

External & internal context
- a. What external factors will affect or inform PEN's work?
- b. What internal factors will affect or inform PEN's work?

Strategic direction
- What is the vision, mission, theory of change, as well as values and approaches of PEN's work?

Programme direction
- a. What problem is PEN solving?
- b. What are the most strategic options (that give strategic advantage and unique positioning) for PEN?

Fit for purpose institutional strategies
- a. What external relationships should PEN cultivate?
- b. What organizational structure will aid PEN's work?
- c. What resources should PEN marshal to achieve SP goals?

## 1.3.2. Strategic Planning Content

This strategy therefore compiles a situational analysis that helps sharpen PEN's strategic direction to effectively walk towards achieving its vision and mission through strategic programme direction that re-invigorates the existing programmes. It also helps review the strategic partnerships, the organizational structure and the resources required in the next five years.

# 2. Context & Situation Analysis

## 2.1 External Context Analysis

A core question for PEN at the onset of this strategic planning process has been – 'What issues and trends that are external to PEN can shape its thinking about the future?

PEN operates in a complex and dynamic environment in which current and emerging trends present potential opportunities as well as challenges to its ability to carry out its mission. This question has also been important because over the next five years, PEN recognizes that while the focus areas may remain largely unchanged from the previous strategic plan, objectives and strategies will have to be changed or fine – tuned in the context of current development challenges. Most of these challenges are also interrelated and portend both enabling and disruptive effects potentially to PEN's work.

### 2.1.1. Weak institutions that are unsustainable

Civil Society Organizations in Kenya continue to suffer the effects of lack of proper governance and management structures. This affects their ability to sustainably operate, meet the strict demands of the regulator, effectively translate their interventions to impact and be accountable amongst themselves and to their beneficiaries. They also have varying gaps in their programmatic and financial management that affect their operations.

The Covid-19 pandemic impact continues to be overwhelmingly negative and widespread. Many CSOs have recorded reduced funding with increasing demand of their services. It is estimated that 68.1% of CSOs in East Africa experienced loss of funding since the start of the pandemic and this remains a serious concern for CSOs in Kenya. The devastating impact of Covid-19 will greatly affect their sustainability and it is estimated that 5.1% will cease operations.[1]

Kenya's vibrant and dynamic Civil Society has been instrumental in the democratic and developmental gains made by Kenya. However, its relationship with the government continues to be strained because of the sector's unrelenting campaigns against corruption and other accountability issues. This has mainly manifested through the attempts to amend the PBO Act 2013 and the introduction of retrogressive provisions in existing laws such as Computer Misuse and Cyber Crimes Act, Prevention of Terrorism Act, Proceeds of Crime and Anti – Money Laundering Act among others, profiling CSOs and their leaders, especially during politically volatile periods such as elections.

The legal environment for CSOs continues to remain the same with organizations continuing to register under the NGO Coordination Act (1990), Companies Act (2017), Societies Act (2012), or Chapter 164 of the Laws of Kenya governing trusts.

[1]The Impact of Covid-19 on African CSOs- "Ongoing Uncertainty and Glimmer of Optimism" October 2021 by epic Africa and @ African NGOs

However, the legal framework is characterized by multiple laws, which are implemented by different Government ministries, agencies and departments thus complicating compliance and is prone to abuse by the various agencies.

In terms of CSOs' financial viability, funding for NGOs operating under the NGO Act increased by 8 percent in the 2018–19 financial year, according to the 2019 survey of the NGO Coordination Board. However, 88 percent of NGOs' funds came from sources outside of Kenya, 11 percent from local sources, and less than 2 percent from income-generating activities, such as rentals or consultancy services. Foreign donors prefer to fund short-term projects, mainly in the areas of devolution, citizen engagement, human rights and accountability but with minimal core financial support to the CSOs.[2]

Under the next strategic plan period, critical programmes opportunities that arise for PEN work in this respect are:

- Supporting an enabling legal and institutional environment for CSOs at national and county level.

- Advocating for commencement of the PBO Act and its implementation.

- Advocate for the review of unfavorable clauses in other Acts of Parliament that have a direct impact on civic space.

- Creating and strengthening spaces for dialogue both at county and national levels.

- Strengthening CSO capacities in resource mobilization, internal governance networking and research.

- Promoting sustainable engagement between the Civil Society and other stakeholders especially the public sector, private sector and private philanthropists (foundations).

### 2.1.2. The Economy, Poverty and Exclusion / Inequality

According to the World Bank[3] The proportion of Kenyans living on less than the international poverty line (US$1.90 per day in 2011 Purchasing Power Parity (PPP)) declined from 46.8% in 2005/06 to 36.1% in 2015/16. Though there has been a decline in the poverty rate, inequality continues to rise. Less than 0.1% owns more wealth than the 99.9% of the population. Further, the richest 10% of people in Kenya earned on average 23 times more than the poorest 10%. This degree of inequality has led to unequal access to opportunities in healthcare and education. 2.6 million people also fall into poverty or remain poor due to ill health each year.[4]

[3]World Bank, Kenya Economic Update: Policy Options to Advance the Big 4-Unleashing Kenya's Private Sector to Drive Inclusive Growth and Accelerate Poverty Reduction, Edition No. 17, April 2018

[2]USAID (2020). 2019 Civil Society Organization Sustainability Index for Sub-Saharan Africa.

At the national level, Kenya's economy is likely to slow down over the next three to five years due to increased public debt which will affect public investments to service delivery projects at national and county levels. On the other hand, increasing costs of living for the majority is likely to intensify poverty and widen economic inequalities.

In the rural communities where PEN majorly works, inequality also makes it difficult for the poor to invest in education, health and livelihoods, which in the long run, has a high social cost by undermining the quality of human resources and consequently undermines their long-term development goals.

Due to the unforeseen effects of locusts, drought and COVID-19, in 2020 and 2021, the economy was projected to decline to 1% as government investments "slowed down significantly, and civil works were delayed by global supply disruptions and the limited supply of labor associated with the pandemic".[5] The COVID -19 pandemic coincided with the start of the maize planting season, the primary staple food. Following a sharp decline in maize production in 2019 due to early-season drought, the unresolved locust pandemic as well as floods in 2020, food stocks are likely to decline, and food prices considerably increase thus a high cost of living and deepening poverty. Kenya National Bureau of Statistics (KNBS) also projects that job losses are likely to go up to 75% and the aftermath of COVID – 19 is a global economic recession. Globally, Sub-Saharan Africa was projected to have the highest increase in the additional number of poor people (23%), earning less than USD1.90 per day.

Under the next strategic plan period, two critical programmes opportunities arise for PEN work in this respect;

• Providing support to institution-wide changes to address underlying causes of poverty and exclusion at all levels of governance

• Influencing policy at the County level for fair and equitable resource allocation targeting specific sectors in the community;

[4]https://www.oxfam.org/en/kenya-extreme-inequality-numbers (accessed on 16/11/2021)

[5]World Bank. (2020). Turbulent Times for Growth in Kenya: Policy Options during the COVID-19 Pandemic. Kenya economic update, 21

- Advocate for implementation of economic policies and legislations that reform the fiscal system, and raise sufficient financing for free quality public education and healthcare.

- Work with county governments to influence national government policies[6] that address current economic inequalities in our society.

## 2.1.3. Environmental Degradation and Climate Change

Climate change and natural disasters hit hardest among those already suffering from poverty and exclusion. Reducing the risk of disaster and planning for future climate change is essential for truly sustainable development. At the same time, climate change places compounded stress on the environment, as well as on economic, social and political systems. Whether it comes in the form of extreme weather events such droughts and floods, or just regular events such as unpredictable weather patterns and shifting seasons. Adverse climate change undermines development gains and leads to shortages in basic necessities among poor people. These circumstances lead to worsening hunger and poverty. Put simply, where poverty is seen as an underlying risk, climate becomes a magnifier and in many cases a multiplier, of existing underlying causes of risk and increasing dependence of communities on humanitarian aid.



Among many of the rural communities where PEN works, a majority rely on agriculture and natural resources to survive. For these people, the effects of climate change — limited water and food sources and increased competition for them — are a critical matter. As a result, considering the challenges each community is facing, and then developing localized solutions that will make the biggest impact remains a big challenge. To create real and lasting change, the social, economic and political realities underpinning climate change need to be addressed, in addition to mitigating the effects on the ground.[7]

[6]Policies around preparedness, recovery, emergency response

[7]Source: Experiences and Lessons in Climate Change Integration, Mercy Corps USA

Going into the next programming phase, PEN has an opportunity to broaden its approach to climate responsive programming by exploring the following opportunities;

• Promoting the adoption of efficient and greener technologies and systems that can be used across various sectors such as agriculture and water among others.

• Promoting and development of Disaster Preparedness and Early Warning Systems that will ensure that communities are able to better prepare, mitigate and rebuild after disasters.

• Enhancing mitigation measures on climate change and environmental degradation.

• Advocating for policies that help mitigate environmental degradation and climate change, and environment and climate change financing to the most vulnerable communities in Kenya.

## 2.1.4. Enterprise Development and Inclusive Market Systems

There is growing recognition that market-led diversification and enterprise development can broaden income opportunities and improve livelihoods for rural poor communities. To respond to this demand, there is need for approaches and methods that enable local service providers and community development organizations to provide effective front-line support to rural people's market linkage initiatives. This will result in communities developing commercially viable livelihoods strategies that can capture benefits from local, national and higher value markets, thereby increasing local market initiatives and income while decreasing poverty and dependence.



Across the livelihood interventions and enterprise development, rural communities also continue to experience the impact of changes in market rules, which can often be pivotal moments for empowerment or sometimes disempowerment. For example, the regulations requiring a minimum of 30% access to government procurement opportunities for youth and women has brought about new opportunities for enterprise development and economic empowerment.

Another example here is the emergence of a growing need to explore the possibilities of applying inclusive Value Chain Development (VCD) interventions targeting households living in extreme poverty in an effort to catalyze sustained food security and to improve livelihoods. Across different program landscapes, the key implications for growing enterprise development and inclusive market systems for PEN include the following;

- Promoting value addition and market chains among producers in the agricultural sector and cottage industries.

- Support job creation, opportunities and increase in household incomes for disadvantaged households and underserved groups in rural and urban informal settlements through enterprise skills enhancement.

- Work more deliberately with partners in both private and public sectors towards the realization of inclusive market systems.

### 2.1.5. Devolution and Citizen Engagement in Public Affairs

Devolution is one of the mains thrusts of Kenya's 2010 landmark constitutional architecture. The Constitution and devolution in particular, aim to move Kenya towards a more equitable and inclusive future while addressing disparities and historical patterns of marginalization. But devolution does not automatically lead to an improvement in equality or social justice for that matter. Indeed, devolution like many forms of decentralization can sometimes be associated with growing inequality, and it should be obvious why this is so. Based on PEN's core mandate and mission, the major area of interest are those areas in the Constitution and devolution that speak to citizen engagement and the promotion of sustainable development of communities for social justice, institution building, partnerships, resource development and policy influencing.

At the political scene, the numerous civic education activities do not seem to have enabled citizens to unpack narratives from different perspectives or help contextualize issues and move people from populist, official public opinions into systemic analysis of issues for deeper influence and meaningful change, a direction of engagement that citizens must endeavor to take. Inadequate civic awareness and the lack of a political consciousness (or just ignorance) has exacerbated the problem of inadequate understanding of the political, economic and social systems. Dynastic politics, the reorganization of the old order to maintain the status quo, issues around succession politics, ethnic politics and the reorganization of party membership, often interpreted to mean political transitions will play a big role in the 2022 elections. Lastly, manipulations of various kinds (psychological, political or technological) for social change need to be noted as a factor playing a central role in the Kenyan elections. This is particularly rampant in social media spaces due to the social dynamics of the technological space, its ease of use and speed, anonymity and ability to disconnect and not take responsibility. Factors for PEN to consider include;

• Effectiveness of community engagement in local governance - this means working with local communities on choice and prioritization of projects, transparency & accountability in the county governments, access to information, civic education and having a voice in development priorities, strengthening the institutionalization of structured mechanisms for meaningful and mutually beneficial civic engagement and participation in county development.

• Resources allocation at community level – this implies working with state and non-state actors to address resources constraints and opportunities for maximizing vertical transfers, aid, civil society resource envelopes and public investment in county governments while leveraging on community philanthropy in all its forms including volunteerism.

• Value for money in service delivery - examining avenues for public and legislative oversight in the use of public funds, county development planning prioritization, resource allocation, utilization and monitoring.

• Supply side constraints to effective service delivery - this implies capacity support and development of county government systems for service delivery, strengthening private sector participation, data and decision making, policy and legislation, county economy competitiveness, market systems and the enabling environment for sustainable community development.

## 2.1.6. The Financing Landscape and Civic Space

According to USAID, the effects of the 2007-2008 global economic crisis intensified pressure on foreign governments to significantly reduce funding and thus diminishing the resources available to CSOs for their work largely in the South. In other cases, foreign government policies to move from aid to trade, low economic growth rates in Western economies and long-term structural issues, including the rising costs of public welfare for ageing populations resulted in the overall aid budget reduction.

A new focus in the Oversees Development Assistance (ODA) post 2015 proposes to ① move from halving poverty (under MDG's) to ending poverty in all its forms everywhere (under SDGs). This meant that Least Developed Countries (LDC's), especially politically fragile and environmentally vulnerable ones, will get a higher preference than other categories such as Low Medium Income Countries (LMIC's) like Kenya, further shrinking available resources to Kenyan based organizations. ② To move from providing direct support to basic social services like health and education to an all-resources agenda of mobilizing and creating partnerships with other resource bases that can support implementation of these basic services. This means that funding will not only go to CSOs but to private and public sectors to provide both public services and economic opportunities, which further redistributes resources that would otherwise be available to CSO's. ③ To move from the separation of sustainability and development agenda to a unified and universal post-2015 sustainable development agenda means that to be eligible, projects and programmes need to demonstrate linkages and alignment with Sustainable Development Goals. In addition, an emergence of in-country multi-donor funding mechanisms gives preference to funding consortia of CSOs and favors the funding of fewer organizations.

These developments in the international financing system meant a reduction in resources going to public benefits organizations which was also exacerbated by the fact that Kenya became a lower middle-income country, meaning that the bigger proportion of resources were given to Kenya Government, and as loans and not grants.

- Diversify PEN's resourcing besides donor funding and particularly through community mobilization of local resources, collaborating with local development organizations, incentivized individual giving, corporate social responsibility programmes, income generating activities, and diaspora philanthropy.

- Target institutional financing and fundraise on the basis on program linkages e.g. between governance, climate change and economic well being.

- Build fundraising consortia with like minded organizations.

---

[8] United States Agency for International Development (USAID). (2014). The 2014 CSO Sustainability Index for Sub-Saharan Africa.

## 2.2. The SCOT Analysis

The SCOT analysis was useful in understanding PEN's strengths and challenges, and for identifying both the opportunities open to the organization and the threats PEN faces. This analysis enables PEN to continue building on what it does best while understanding the areas of improvement. It also uncovers opportunities PEN is well placed to exploit while working towards ways of managing, eliminating or navigating around threats that would otherwise pose serious risks to the organization.

| Strengths | Challenges |
|---|---|
| • Proper and efficient internal systems and structures that ensure the smooth running of the organization. This has ensured that PEN is able to gain the confidence of all its partners (communities, CSOs and donors) while collaboratively working to implement various interventions. | • A brand identity that is not in line with what we do. This necessitated a rebranding process to paint the true picture of PEN. |
| • PEN's development model that seeks to ensure that communities are the drivers of their own development agenda. This model has ensured that PEN's interventions respond to the priority community needs, are community led and use the local knowledge. | • Weak learning culture that would enable PEN to learn from its past successes and challenges.<br><br>• Poor image building and communication about PEN's work thus leading to low impact visibility.<br><br>• Failure to attract a new Board of Directors thus challenges the transition of the current ones. |
| • Ability to leverage on partnerships and networks across the country to implement projects and advocate for common causes. This has ensured that PEN minimizes chances of duplicating roles and that it has an increased voice on various issues. | • Failure to capitalize on the already existing goodwill to strengthen partnerships with donors and other organizations, and to upscale our work around the country. |

| Opportunities | Threats |
|---|---|
| • Donor shifts in funding. In the recent past, donors have changed from their traditional ways of development cooperation in the global south. Donors have now been shifting to localization of decision-making, Journey to Self-Reliance, and consortia funding. | • Government interference. The movement of the sector's Regulator (the NGO Coordination Bureau) from the Ministry of Devolution to that of Interior and Coordination of National Government was interpreted by the sector as securitizing civil society work, which is not a true representation of the sector's role. |
| • General elections and transition in 2022. The elections offer an opportunity to deepen engagement with the expected new leadership (at the presidency and national legislature) and in a | • The failure to commence the PBO Act and the enactment of other civic space legislations that are likely to infringe on citizens and CSOs ability |

| Opportunities | Threats |
|---|---|
| number of counties.<br><br>• Third Round of Devolution (2023-27). The first two rounds of devolution (2013-2017 & 2017 – 2022) offers critical lessons on the effectiveness of devolution. From these lessons, PEN will be able to rethink their engagement with all devolution stakeholders in the county.<br><br>• Innovations that have been bolstered and necessitated by (health) pandemics, need for more efficiency and the need for greater impact.<br><br>• Existence of national platforms for collaboration with various Civil Society actors on various issues such as civic space and deepening devolution. These platforms include Civic Space Protection Platform (CSPP) and the Civil Freedoms Forum (CFF).<br><br>• Increasing number of laws that affect civic space offers more opportunities for interventions. The civic space laws include the PBO Act (2013), NGO Coordination Act (1990), the Access to Information Act (2016) among others.<br><br>• The increased interest that private sector philanthropists have shown on civic space issues offers increased opportunities for collaboration with the private sector in the protection and promotion of civic space. | to associate, express themselves and carry out their activities.<br><br>• Shifting of donor funding trends. In the Plan period, we expect to see an increasing shift of donor funding to direct government funding, reduction of funding in certain programmatic areas such as health, and preference to funding the private sector in livelihood projects, among other shifts.<br><br>• The change of political guard at both the National and County levels. The change of guard is expected to bring about some level of uncertainty as the new governments may adopt different approaches to working with the civil society.<br><br>• Competition from other organizations with the same programs like PEN's. This may cause challenges of duplication of interventions on specific issues or areas.<br><br>• Pandemics. The current Covid-19 pandemic has brought about long lasting changes on how individuals and organizations behave. The threats of future pandemics remain a challenge that PEN must plan to deal with.<br><br>• Political instability. With the 2022 Kenyan General Elections approaching, a polarized electioneering period promises divisiveness among the people. This is likely to lead to instability (chances of political violence, loss of property and lives, displacements, etc.) among the people. |

## 3. PEN's Strategic Direction

In response to the context, the 2022-2026 strategic planning process generally reaffirmed the core ideological elements, which include the vision, mission, and approaches of how PEN works to achieve its mission, core values and theory of change. However, some slight modifications were necessary to sharpen and contextualize the areas of work for more relevance. PEN also acknowledged the need to generate a more robust conceptual framework, embedded in the reality of implementing partnerships, empowerment and networks in an increasingly undemocratic context, against a backdrop of dwindling resources and a context of recentralizing efforts by the state.

### 3.1. Vision

## Vision
A society with strong sustainable institutions that enhance equity and dignity of citizens.

### 3.2. Mission

## Mission
To enhance institutional capacity and cordination of partnerships for effective service delivery and citizens transformation.

## 3.3. Approaches



1. Capacity building & technical assistance
2. Community sensitization & mobilization
3. Building linkages among stakeholders
4. Movements, networks, & coalitions building
5. Research and policy advocacy

## 3.4. Core Values



Respect for human rights, and equity

Respect for the innate potential, and ability of all people to design their own destiny

Active participation and engagement

Transparency and accountability

## 3.5. Theory of Change

PEN works with citizens, their organizations, private sector and public institutions for we believe, if we build effective and sustainable citizens organizations and public institutions, entrench citizen participation and engagement in public affairs and build resilient communities, THEN accountable, transparent, responsive and citizen – centered leadership and development will be realized in Kenya.



Theory of change

**Current condition**
Institutional capture; weak coordination among stakeholders; marginalization of the poor; & poor information access

**Strategies**
- Research and Policy Advocacy
- Capacity building and Technical Assistance
- Movement, networks and coalitions building.

**Action**
- Building linkages among citizens' organizations, governments and private sector.
- Community sensitization and mobilization.

**Impact**
- Vibrant institutions collaborating effectively in all regions and sectors.
- Active and transformed citizenry
- Communities with capacity to respond effectively to shocks

**Vision**
Strong sustainable institutions that enhance equity and dignity of citizens; vibrant society in control of its development agenda

# 4. Strategic Program Priorities (SPP)

Informed by the lessons and reflections drawn from the previous strategy, and the contextual environment, the strategic programmatic niche that will enable the organization to meet its objectives going forward falls in the following key areas:



## 4.1. Effective and Sustainable Citizens Organizations and Public Institutions

Citizen organizations and public institutions are at the center of facilitating development at all levels. How effective and sustainable public institutions are directly relate to their ability to offer services. Citizens organizations also need to be strengthened in order to work with the citizens to create the demand – side of service delivery, accountability and transparency. PEN will develop and deliver programs that ensure these organizations and institutions are effective and sustainable.

**Strategic Goal:**
To empower both citizens and public organizations for sustainability, effective partnerships and networking.

**Under this strategic goal, the key interventions will include;**

• Research and Analysis on the effectiveness and sustainability of citizen organizations and public institutions among others to be identified issues.

• Strengthening Collaborations and Networks among CSOs, private sector and the government.

• Capacity Building and Technical Assistance. To ensure that organizations are able to carry their mandates, continuous support on various issues is needed to build on the organizational capacity to implement various interventions at different levels.

# Indicators of success

**1.**
Kenyan led, Kenyan owned and Kenyan managed institutions.

**2.**
Responsive service delivery to citizens.

## 4.2. Citizen Participation and Engagement in Public Affairs

Citizen organizations and public institutions are at the center of facilitating development at all levels. How effective and sustainable public institutions are directly relate to their ability to offer services. Citizens organizations also need to be strengthened in order to work with the citizens to create the demand – side of service delivery, accountability and transparency. PEN will develop and deliver programs that ensure these organizations and institutions are effective and sustainable.



**Strategic Goal:**
To promote effective citizen participation and policy influencing for social justice and sustainable development of communities.

**Under this strategic goal, the key interventions will include;**

• Citizen sensitization that will build on their knowledge and skills on various issues that affect them, and on how best to respond to them or to engage duty bearers in finding solutions to the various challenges.

• Citizen mobilization to demand accountability from duty bearers and the institutions. Through this, citizens will be able to hold leaders accountable, ensure proper project implementation and to be part of the decision-making at both county and national levels.

• Civic and political education among the Kenyan citizenry to ensure that they are able to make informed decisions at the ballot and beyond. This is intended to bring about active citizen engagement in political processes, especially in ensuring that the right individuals occupy the political offices.

• Promote and ease access to information to enable citizens make informed decisions and to effectively participate in public affairs.

**1.**

Citizen's autonomy to exercise their rights and privileges in representing their interests, and effectively carrying out public oversight in a responsible and self-determined way.

# Indicators of success

**2.**

Structural and political alignments of service delivery frameworks for inclusive, accountable and proximate service delivery.

## 4.3. Building Resilient Communities

Communities face threats and vulnerabilities occasioned by challenges of climate change and environmental degradation, food insecurity, political instability, lack of social cohesion and poor community information flow. The development potential of these communities is pegged on their ability to stay resilient to the shocks relating the above vulnerabilities, their ability to cope and adjust, and to build their capacity to cope with future occurrence or reoccurrence of these social, political and economic shocks.

Climate change has far-reaching consequences for the poor and marginalized, majority of whom depend on subsistence agriculture for their livelihoods and have a lower capacity to adapt. Other notable effects of global warming include reduction in the land suitable for agriculture; reduction in the length of cropping seasons and yield potential from rain-fed agriculture; worsening water stress; and destructive flooding. The weak capacity of citizens, their institutions, and the government to mount effective adaptive mechanisms further compounds these effects.

Discovery of new mineral wealth also brings with it a mixed bag of benefits and problems, largely attributed to the environmental impact of these extractives. However, local communities rarely benefit from such mining and generally remain some of the poorest communities, often afflicted with poor social amenities, health among other challenges.

**Strategic goal:** To promote innovative and sustainable technologies and interventions that ensure that communities become more resilient to threats and vulnerabilities.

**Under this strategic goal, the key interventions will include;**
- Promoting the adoption of efficient technologies that can be used across various sectors such as agriculture and water among others.

- Promoting value addition and market chains among producers in the agricultural sector and cottage industries.

- Promoting and development of Disaster Preparedness and Early Warning Systems that will ensure that communities are able to better prepare, mitigate and rebuild after disasters.

- Enhancing mitigation measures on climate change and environmental degradation.

- Promoting collective community actions that mitigate effects of disasters that befall communities.

- Promoting policies that strengthen benefit – sharing between communities, the private sector and the government.

## Indicators of success
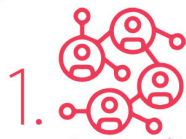
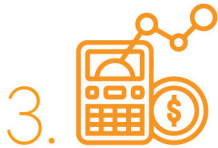**1.** Enhanced capacity of formerly marginalized groups to organize and take action to address various community challenges in collaboration with local leaders.

**2.** Reduced vulnerability and increased resilience to a wider range of shocks and stressors among currently poor households

**3.** Increased county budgets to social sectors that mitigate community vulnerabilities.
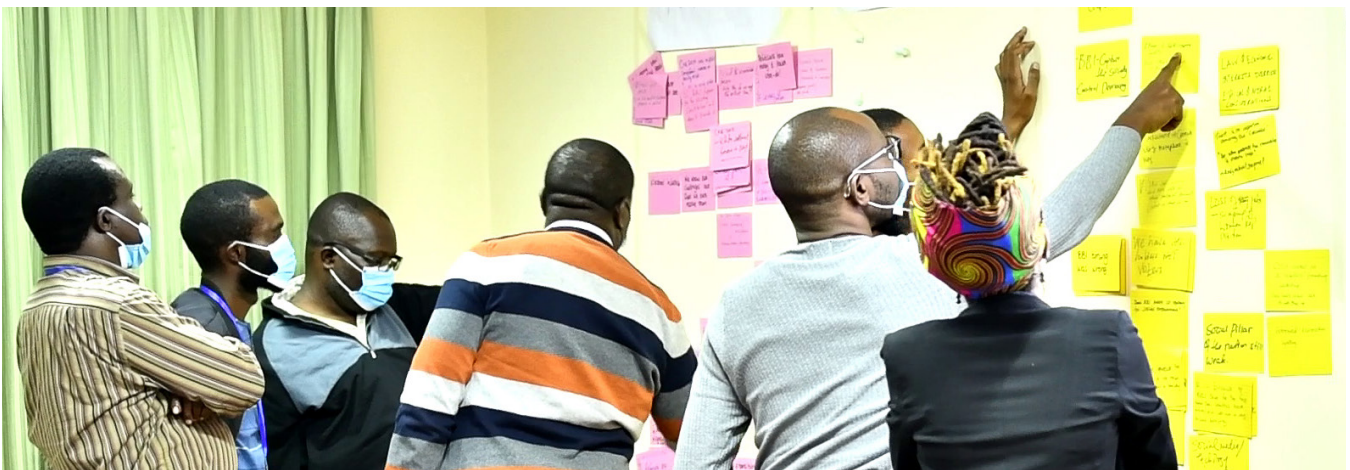
## 4.4. Building Institutional Capacity of PEN

Enhancing institutional effectiveness will aim at making PEN a better and more effective organization that strengthens community voice and agency in building responsive and empowered communities. Over the years that PEN has been in existence, it has evolved through continuous innovation and growth. However, the context has been evolving with the civic space becoming more authoritarian and with the global environment also marred with its own complexity and disruptions. In order for PEN to respond more effectively to community development needs, changing policy and political contexts as well as other dynamics, PEN will need to build upon fundamental organizational building blocks like investing in people, systems, tools and processes while leveraging strategic partnerships.
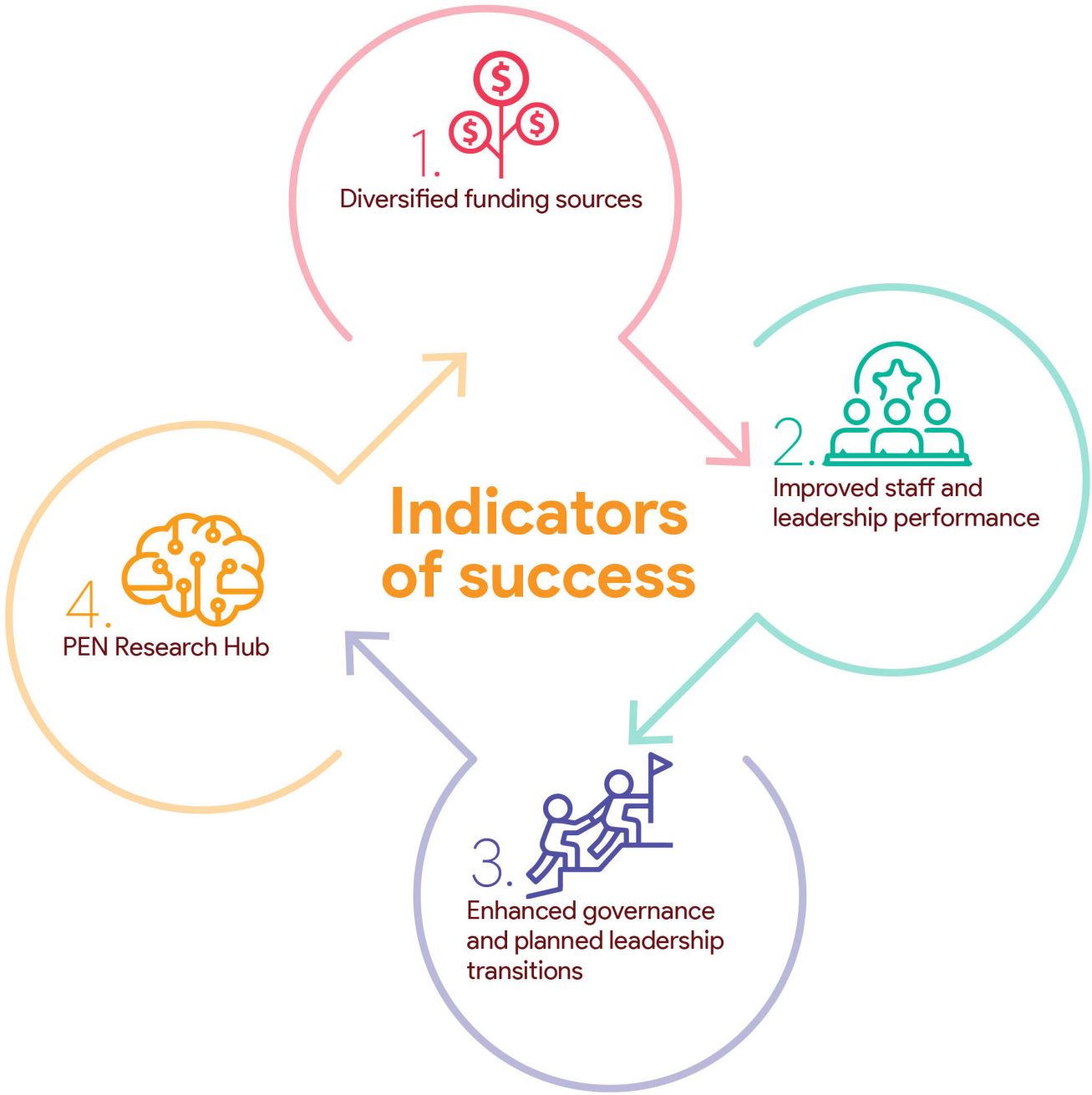
Another important aspect of the institutional development pillar will be the focus of PEN organization improvement. The demands from the programming landscape means PEN will have to be more agile, give new capacities to staff to develop and deliver more on integrated programmes.

**Strategic goal:** To strengthen and enhance PEN's sustainability and ability to deliver on its development mandate more effectively and efficiently.

**Under this strategic goal, the key interventions will include:**
- Improving its staffing numbers, skills and compensation to the current market rates.

- Increasing its resourcing through expanded fundraising, collaboration, endowment and other forms of income generating activities.

- Strengthening Institutional Leadership through recruitment of new board members and the transition of those whose terms have ended. This also involves having clear succession plans for the management.

- Adopting technology as a way of improving PEN's efficiency and effectiveness.

- Building PEN's Research, Knowledge Management and Communication capacity to ensure it becomes a learning organization able to build on its past successes and to fully engage its stakeholders.

# Indicators of success

1. Diversified funding sources

2. Improved staff and leadership performance

3. Enhanced governance and planned leadership transitions

4. PEN Research Hub

# 5. Organizational Implications

## 5.1. Proposed Organizational Structure



Board of Directors

Executive Directors

Finance and Administration Manager

Programme Officer – Capacity Building

Programme Officer – Citizen Participation and Engagament

Programme Officer – Community Resilience

Programme Officer – Research, Knowledge Management and Communications

Finance and Compliance Officer

Accountant

Programme Staff

Programme Staff

Programme Staff

Research and M&E Officer

Knowledge Management and Communications Officer

Support Staff

## 5.2. Monitoring and Evaluation Framework

One key objective of the Monitoring and Evaluation framework in PEN is that it is useful in ensuring programs are able to continually reflect on the experiences and results during the implementation period. As such, monitoring and evaluation will continue to guide various interventions as part of the routine management of work. In addition, the information will be useful in communicating the progress in attaining results, learning and improving decisions for improvement.

| Challenges / key result areas | Strategic objective / goal | Interventions / outcomes | Indicators of success | Baseline | Target |
|---|---|---|---|---|---|
| **Strategic Programme Area 1**: Building Institutional Capacity of PEN | | | | | |
| Reduce overdependence on donor funding and diversify sources of funding | To Strengthen and enhance PEN's sustainability and ability to deliver on its development mandate more effectively and efficiently | Diversify our funding sources | Increase in # of donors | 3 | Increase of 2 donors annually |
| | | | Increase in multi – year grants | 2 | Increase of 1 multi-year grant per year |
| | | | Amount of budget raised annually from different sources | Kes. 35m | Kes. 100 million annual |
| | | Strengthen PEN's Business Arm (PMDC) | Increase in income donated by PMDC to PEN | Kes. 0 | Kes. 2 million in year one; and a 20% increase annually from year 2 |
| | | Build an Endowment Fund | Amount raised annually towards the endowment fund. | Kes. 0 | Raise 3 months' worth of expenses |
| Improve performance by getting more and better results with limited resources i.e. cost effectiveness. | | Build staff capacity on strategic programmatic areas | # of staff towards each programmatic area | 3 | 3 per area |
| | | | # of staff trained on programmatic areas | 3 | 12 |
| | | | # of staff attending strategic workshops | 2 | 6 per year |
| | | Improve internal systems for efficient delivery of service (Use technology to track | # of systems, policies and procedures reviewed | 6 | 6 |

| Challenges / key result areas | Strategic objective / goal | Interventions / outcomes | Indicators of success | Baseline | Target |
|---|---|---|---|---|---|
| Strengthen Institutional Leadership (Board, managing transitions, succession) | | performance; Use of local resource persons) | # of new systems, policies and procedures adopted | 1 | 1 |
| | | | Annual External Audits | 1 | 1 per annum |
| | | | Digitization of internal processes | 1 | 4 internal processes part – digitalized (Activity Implementation & M&E; HR; Procurement; Financial transactions) |
| | | Board training and transition management | Review of Board Charter | 1 | 1 |
| | | | # of new Board Members | 0 | 9 |
| | | Succession planning and management | Succession plan operationalization | 1 | 1 |
| Communication and Knowledge Management | | Invest in communication office | # of staff dedicated to the office | 0 | 1 |
| | | | Regular production of content | 1 | 3 per annum |
| | | Develop a communication & KM framework (Research, MERLA & communication) | Communication Strategy developed | 0 | Strategy developed |
| | | | KM Framework developed | 0 | Framework developed |
| | | | MERLA Framework developed | 0 | Framework developed |
| | | | Research Protocol developed | 0 | Protocol developed |
| | | Creating Communities of Practice (CoPs) | Operationalized CoPs | 0 | 4 CoPs Created |

**Strategic Programme Area 2:** Effective and Sustainable Citizens Organizations and Public Institutions

| Challenges / key result areas | Strategic objective / goal | Interventions / outcomes | Indicators of success | Baseline | Target |
|---|---|---|---|---|---|
| Research and Analysis | To enhance the capacity of citizens organizations and research and analysis | Build internal capacity for research and analysis | # of staff capacity built through training in Research and Analysis | 0 | 5 |

| Challenges / key result areas | Strategic objective / goal | Interventions / outcomes | Indicators of success | Baseline | Target |
|---|---|---|---|---|---|
| Networks and Strengthening Collaborations | public institutions for effective service delivery | Conduct relevant research | # of research reports produced | 2 | 3 annually |
| | | Identify and strengthen relevant strategic Networks | # of active networks | 9 | 27 |
| | | Establish a Partnerships (Networking & collaboration) Framework | Developed and adopted Partnerships Framework | 0 | Framework established |
| | | Conducting needs assessment | # of CSO needs identified | 0 | 2 needs annually |
| | | Consortia fundraising and alternative resource mobilization approaches | # of consortia grants received | 1 | 2 per year |
| Capacity Building and Technical Assistance | | Development of training curriculum | # of training curricular developed | 1 | 4 |
| | | | # of capacity building interventions undertaken | 1 | 2 |

**Programme Area 3**: Citizen Participation and Engagement in Public Affairs

| Challenges / key result areas | Strategic objective / goal | Interventions / outcomes | Indicators of success | Baseline | Target |
|---|---|---|---|---|---|
| Citizen sensitization and mobilization to | To deepen citizen voices and actions for effective and | Create and strengthen citizen engagement spaces | # of active spaces created/strengthened | 0 | 1 in every county we work in |

| Challenges / key result areas | Strategic objec-tive / goal | Interventions / outcomes | Indicators of success | Baseline | Target |
|---|---|---|---|---|---|
| demand accountability from duty bearers and the institutions | equitable service delivery | Create linkages with relevant oversight institutions | # linkages formed | 0 | 1 new oversight institution per year |
| | | Organize devolution service delivery week | # of devolution service delivery weeks held | 0 | 1 per county we operate in every two years |
| | | Strengthen Social accountability platforms | # of strengthened platforms | 1 | 1 per county we work in |
| | | develop popular versions of citizen participation handbooks and relevant Information, Education and Communication (IEC) materials | # of developed popular versions | 2 | 1 per year |
| | | | # of developed IEC materials | 0 | 2 per year |
| Civic and political education | | development of a training curriculum of civic and political education | # of training curricular developed | 0 | 1 |
| | | training and sensitization fora | # of trainings/sensitization fora held | 0 | 1 per county of operation |

**Strategic Programme Area 4:** Building Resilient Communities

| | | | | | |
|---|---|---|---|---|---|
| Efficient technologies | To enhance capacity of communities to respond to social, economic, | Policy influencing | # of briefs, analysis, memoranda, dialogues on policy | 0 | 4 per year |

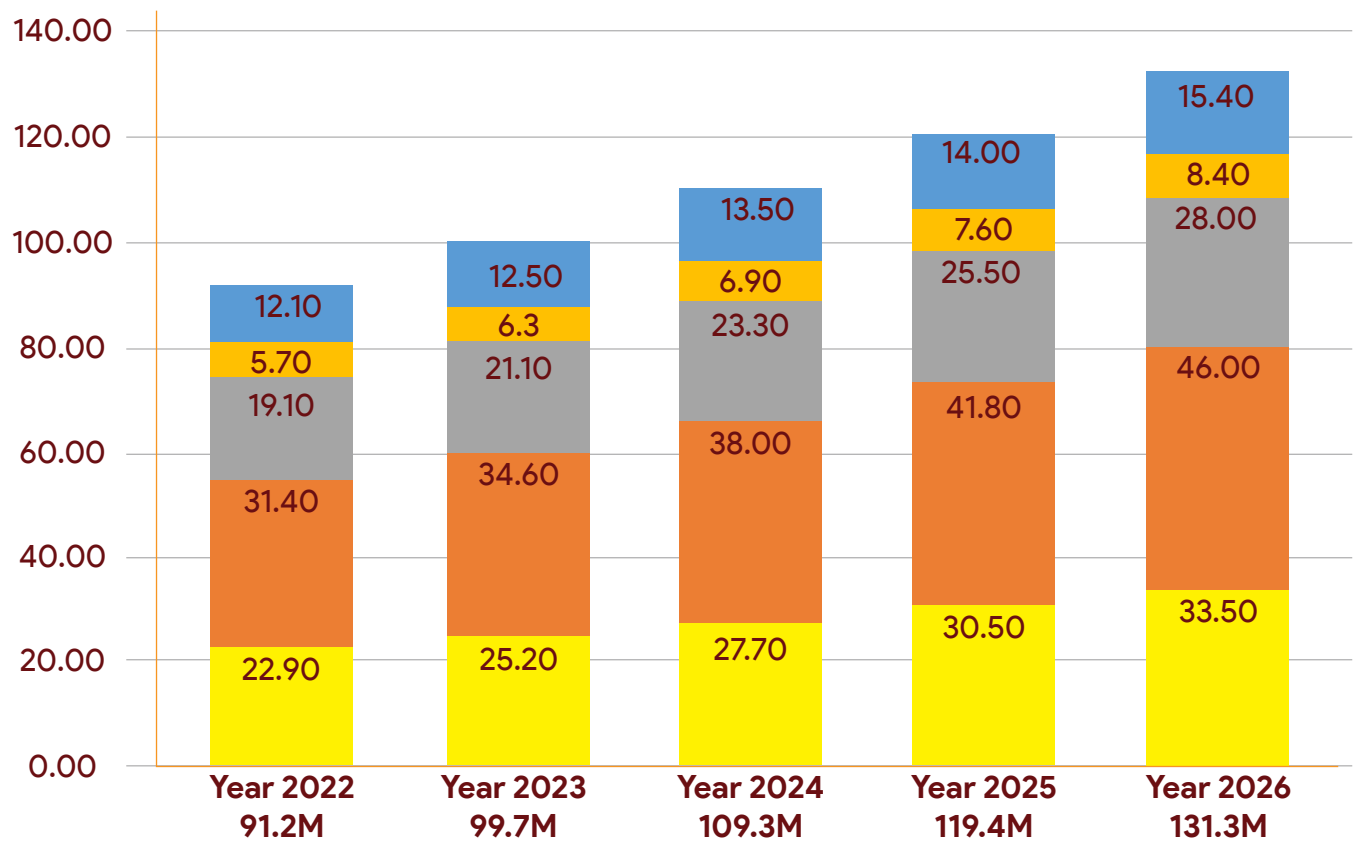| Challenges / key result areas | Strategic objective / goal | Interventions / outcomes | Indicators of success | Baseline | Target |
|---|---|---|---|---|---|
| | environment and political vulnerabilities | Peer learning | # of peer learning exercises | 1 | 4 exercises per year |
| | | | # of policies adopted/reviewed/implemented/abolished (including laws) | 0 | As per needs assessment |
| Value addition and chains | | Uptake of appropriate technologies | introduced technologies taken up | 0 | As per needs assessment |
| | | linkages to Market and relevant institutions | # of linkages | 0 | 1 linkage per year |
| | | Created/strengthened Community spaces | # of community spaces created/strengthened | 0 | 1 per county PEN works in |
| Disaster preparedness and Early Warning Systems (DP/EWS) | | DP/EWS strengthening Systems | # of DP/EWS Systems created/strengthened | 0 | 1 per county PEN works in |
| | | | # of threats identified beforehand | 0 | As picked by DP/EWS |
| | | Linkages with relevant institutions | # of institutional linkages created/strengthened | 0 | 1 per county of operation per year |
| | | Policy influencing | # of briefs, analysis, memoranda, dialogues on policy | 0 | 2 per year |
| Climate change and environmental degradation | | | # of policies adopted/reviewed/implemented/abolished (including laws) | 0 | As per needs assessment |
| | | Best practices & learning | # of peer learning exercises | 0 | 1 per county every year |
| | | Linkage with relevant institutions | # of linkages | 0 | 1 per county of operation per year |

# 5.3. Stakeholder Analysis

Stakeholder mapping to determine a key list of relevant groups, organizations, and people; stakeholder analysis to understand stakeholder perspectives and interests while visualizing possible relationships from shared objectives and areas of mutual convergence is critical for the success PEN is to moving forward. Critical stakeholders for the next five years are listed below but are not limited to:

| Stakeholders | Stakeholder Needs (SN) | Organizational (PEN) needs | What actions do we align SN needs with organizational needs? |
|---|---|---|---|
| Funding partners | • Research studies<br>• Publications<br>• Evidence for community impact | • Institutional funding<br>• Programme funding | • Develop proposals<br>• Organize visits<br>• Seek technical and financial partnerships<br>• Collaborate on network's capacity building opportunities |
| Community Partners (CBOs, CSOs at County level, etc.) | • Information<br>• Capacity building and technical assistance<br>• Collaboration platforms | • Partnerships<br>• Active participation<br>• Joint project implementation | • Develop joint project designs<br>• Bi-annual consultative events |
| National CSO Partners | • Information<br>• Partnerships<br>• Collaboration platforms | • Partnerships<br>• Information | • Develop joint project designs<br>• Quarterly consultative events |
| County and National Government Institutions | • Information<br>• Partnerships<br>• Capacity building and technical assistance | • Partnerships<br>• Information | • Develop joint project designs<br>• Bi-annual consultative events<br>• Alignment of project plans with county governments |
| Private sector | Partnerships | • Partnerships | • Annual consultative events at county level<br>• Involvement in County Accountability weeks<br>• Joint project interventions |

## 5.4. Financial Projection



| | SPP5 | Administration Cost |
|---|---|---|
| | SPP4 | Building Institutional Capacity of PEN |
| | SPP3 | Building Resilient Communities |
| | SPP2 | Citizen Participation and Engagement in Public Affairs |
| | SPP1 | Effective and Sustainable Citizens Organizations and Public Institutions |

# pen

Partnerships 4 Empowerment
& Networking in Kenya

Building Alliances · Better Lives

pen is a trade name of Poverty Eradication Network