The Advocacy Sourcebook

WaterAid

“We shall not finally defeat AIDS, tuberculosis, malaria, or any of the other infectious diseases that plague the developing world until we have also won the battle for safe drinking-water, sanitation and basic healthcare.”

Kofi Annan, Former United Nations Secretary-General

The Advocacy Sourcebook is not designed to be read from start to end in one sitting!

- **If you want to understand what advocacy is**
  see ***section 1***
- **If you want to know why we do advocacy**
  see ***section 2***
- **If you want to start developing your advocacy plans**
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- **If you want to make advocacy happen**
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- **If you want to choose from some advocacy tools**
  see ***the toolkit***

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Preface

WaterAid was founded in 1981 by men and women in the British water industry with a passion and commitment to improve public health. In many respects, the industry is the great inheritor of 19th century public health engineering projects that changed the lives of the UK population, of which vast numbers lived in Dickensian slums, where disease ran rife due to a lack of safe water and the presence of open sewers.

Today, over 1.1 billion people around the world do not have access to safe water and over 2.6 billion do not have access to safe sanitation. Clearly, this situation is a continuing 21st century scandal.

As WaterAid has grown in experience, reputation and capability, we have learnt that funding improved water and sanitation projects, while important in its own right, is an insufficient response to the need to meet people's rights to sufficient, affordable, accessible, safe and acceptable water and sanitation services.

WaterAid's vision is of a world where everyone has access to safe water and sanitation. To achieve this, the causes that prevent a third of the world from enjoying these fundamental rights must be tackled. However, these causes go beyond bad practices and badly designed programmes. They exist in the legal, economic, political, cultural and social inequalities of societies where WaterAid works, and throughout the rest of the developing world. They are not limited to policies in water and sanitation but include policies that affect people's access to water and sanitation, for example, policies and programmes for poverty eradication, trade and investment. They include inequalities between classes, genders, ethnicities and other social groups, that lead to the marginalisation of vulnerable people. They include the quality of government, as well as the quality of governance, the ability (or lack thereof) of poor people to have a voice and the means to hold their governments to account. They include unequal relationships and imbalances of power between the rich industrialised countries of the 'North' and the developing countries of the 'South'.

Together with a growing number of development NGOs, WaterAid is committed to carrying out advocacy work in order to maximise the impact of its programme activities and to meet global water, sanitation and hygiene needs. This commitment reflects the corporate aims of the organisation, which include, *'influencing national policies and practices so that the poor gain access to safe, affordable, accessible and sustainable water supply, sanitation and hygiene promotion services'*.

The Advocacy Sourcebook is not only a resource for WaterAid staff and its project partners, but for anyone who wants to understand, plan and carry out advocacy work systematically and effectively.

WaterAid is committed to challenging the barriers that prevent access to essential water and sanitation services. We hope that this updated edition of *The Advocacy Sourcebook* will provide you with the ideas, methods and tools to take action in local campaigns or international movements that make a difference when it comes to who can turn on a tap or go to the toilet with comfort and dignity.

Stephen Turner
Director of Public Policy and Education
WaterAid

Introduction

The Advocacy Sourcebook is for anyone who wants to change the lives of the poorest people in the world.

In this context, advocacy is the planning and carrying out of actions that seek to change policy, attitudes and practice in favour of the poor. It can take many forms, from face to face discussions with politicians to mounting a media campaign to raise public awareness of the issues.

For WaterAid, the key foundation of all advocacy work is grassroots community involvement. It is only by involving communities and people affected by the issues themselves, and empowering them and increasing their capacity to act and advocate for themselves, that change can really take place.

It is this grassroots work that gives advocacy actions their credibility, and which makes achieving advocacy aims much more likely.

The primary aim of *The Advocacy Sourcebook* is to assist WaterAid staff and partner organisations in drawing up advocacy action plans that aim to improve the water supply and sanitation situation of the poorest people in the countries where they work.

However, *The Advocacy Sourcebook* is written and structured so as to be useful to any individual, group or organisation seeking to carry out advocacy work on their own issues in any country in the world.

Throughout, we provide concrete examples of WaterAid and its partners' advocacy work in practice to inform and demonstrate what effective advocacy looks like.

At the end of the report, we provide some tools, pro-formas, tables and diagrams which advocacy workers may like to reproduce, adapt or distribute; or merely to use as a basis to create something more tailored to their own advocacy campaign.

We hope you find it useful, and welcome any suggestions for improvement or contributions for future issues.

How to use *The Advocacy Sourcebook*

Section 1 looks at the theory of advocacy work, introducing some key concepts and preparing the reader for the self-analysis, research and planning processes that must be carried out before effective advocacy work can be started.

Section 2 examines advocacy as it specifically relates to WaterAid's work to improve the water supply and sanitation (WSS) situation of some of the world's poorest people, particularly in the context of the UN Millennium Development Goals.

Section 3 examines the issue of involving grassroots communities in advocacy work, and provides some tools and case studies on how to make this central to advocacy action plans, rather than merely an add-on.

Section 4 introduces the advocacy planning cycle, and outlines the steps an organisation needs to take as it plans advocacy work, including analysing your issue, identifying targets, and identifying the means to influence those targets.

Section 5 begins to provide the tools you will need to put advocacy action plans into practice, including an analysis of the importance of drawing up effective partnerships. It offers some different theoretical ways to approach advocacy work.

Section 6 offers some concrete tools that can be used to carry out advocacy work.

Section 7 covers the ever-important issue of monitoring and evaluation.

Section 8 offers information and links to useful listserves, networks and organisations.

In the **Annexe**, we have provided some tools, pro-formas, tables and diagrams which advocacy workers may like to reproduce, adapt or distribute; or merely to use as a basis to create something more tailored to their own advocacy campaign.

In practice: *offers examples of WaterAid's and others' good practice in advocacy.*

Quick and useful: *checklists, examples and other useful things to assist in your advocacy planning.*

Key idea: *outlines some of the key theoretical ideas behind advocacy work.*

Advocacy toolkit: *describes when a useful tool, pro-forma, table or worked out WaterAid example has been included in the Annexe.*

Section 1 An introduction to advocacy

Advocacy means taking action to bring about the change you are seeking. Therefore, advocacy must necessarily take place in a particular context, and be aimed at a particular target.

It might be that your advocacy work is targeted at changing national, or even international, policy and practice. But it can also take place in a very local context too; it can entail empowering and enabling individuals and local communities to take action for themselves to achieve change.

A holistic advocacy strategy that seeks to achieve comprehensive change – such as the improvement of water supply and sanitation (WSS) in the poorest countries of the world – will necessarily involve coordinated advocacy work at international, national, regional and local levels.

It will also involve a clear understanding of the political and power influences on the target of your advocacy.

This section aims to make clear some of the different political contexts in which your advocacy work will take place, and will illustrate how the contexts are often mutually influential.

What you will learn from this chapter

- The idea of 'governance' as the target for advocacy
- How issues of politics and power are brought to bear on governance, and their implications for advocacy work
- How policies evolve, and how advocacy can influence the process
- That advocacy in the development sector often needs to be targeted at a number of different contexts at the same time

Government and governance

Advocacy aims to change policy, so it is necessarily targeted at those bodies, institutions or individuals that are responsible for making, deciding and implementing policy.

Who has the power? How are decisions made? Who has influence, and what structures exist for asserting influence yourselves?

'Government' is the act or process of governing; particularly it is the process of making, deciding, implementing, controlling and administering public policy in a political unit, ie a nation state or part of it, eg a municipality. The word 'government' also describes the group of individuals given the authority and responsibility of governing a state, specifically through:

- **The executive:** the part of the government charged with running the day-to-day affairs of the body/state/municipality being governed, which also implements laws
- **The legislature:** the part of the government that decides on what laws and policies the executive should implement
- **The judiciary:** the part of the government which is responsible for interpretation and enforcement of the law

This separation may be a useful way for organisations to determine where its advocacy should be targeted.

However, when we analyse the way in which this power is exercised, we talk about 'governance'. In order to carry out effective advocacy work, it is important to be clear about the political environment in which you are working. How is the country or district run? What are the traditions and processes that influence how a decision is made? How are citizens involved in the exercise of power? Are decision-makers accountable to the rule of law? The answers to these types of questions will help you effectively analyse the state of governance.

Key idea: *Governance*

Governance, according to the United Nations Development Programme (UNDP) is "the exercise of economic, political and administrative authority to manage a country's affairs at all levels. Governance comprises the complex mechanisms, processes and institutions, through which citizens and their groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences". [1]

The UNDP adds that governance transcends government and includes civil society and the private sector. 'Good governance' has attributes of accountability and transparency, is effective, equitable and promotes the rule of law.

Specifically, water governance has been referred to as:

"The range of political, social, economic and administrative systems that are in place to develop and manage water resources, and the delivery of water services, at different levels of society." [2]

1 UNDP (2001): *Governance for Sustainable Human Development: A UNDP Policy Document* (see http://magnet.undp.org/policy/summary.htm, accessed 16 June 2006

2 Rogers P and A Hall; *Effective Water Governance;* Global Water Partnership, TEC Background Papers No 7, as quoted in Cleaver F and Franks T (2005), *Water governance and poverty: a framework for analysis;* BCID Research Paper No 13: Bradford University Centre for International Development

The problem of politics and power

Of course, governance and government does not take place in a vacuum. For a start, it takes place *through* groups and individuals, each with their own political and personal agenda, who are influenced in different ways, and who have different levels of power.

In short, governance is necessarily influenced by politics and power.

As a result, governance does not always follow a rational path. Whether a particular district gets WSS services, for example, is often not the result of their need, what policies are in place or how well budgets are planned. Too often, it is down to the whims of a particular politician, who may want to cater to the needs of a particular constituency or influence.

Politics is about how actors – individuals, businesses, civil society and others – in a society organise themselves to increase their influence, as they seek to promote or protect particular interests.

To tackle the reasons why millions of people lack access to adequate WSS, an understanding is needed of the political and economic context in which WSS policies evolve, and the power relationships involved.

The same principle is true whether at an international or national level, or even a local or community one. In order to be effective at advocacy, NGOs need to build up an understanding of the power relationships and politics at each level of operation. (And they need to avoid being influenced themselves by a particular party or group, so as not to undermine their work through bias.)

In practice: *Who has the power in WSS?*

An analysis of power relationships in the WSS sector will enable you to examine similar relationships relating to other advocacy issues. These are examples of some of the questions you could ask.

- Who are the people denied access to WSS services?
- Who has the power to make decisions about who does, or does not, get access?
- Who stands to gain from these decisions and what influence do they have on the decision-maker?
- Who is responsible for shaping and deciding sector policy?
- Who and what influences the decision-maker?
- What interests do decision-makers have in giving or denying people access?
- What environments do decision-makers work in; what are the challenges and barriers they face in making decisions about WSS access?
- Who decides on levels of public finance for WSS provision?
- How is finance allocated and distributed?

Depending on the importance of an issue to a government and other targets for advocacy, an NGO may find it relatively easy or very difficult to effect a policy change.

Spaces for civil society participation [3]

3 Cornwall, A (2002) *Making Spaces, Changing Places: Situating Participation in Development,* IDS Working Paper 170

Closed or provided spaces: Some decision-making spaces are closed in the sense that decisions are made by a set of designated actors such as elected representatives and experts behind closed doors, without any scope for broader consultation or involvement.

Invited spaces: As efforts are made to widen participation, new spaces are opened which may be referred to as 'invited spaces', where people (users, citizens, or beneficiaries) are invited to participate by various kinds of authorities, such as government, supranational agencies or non government organisations. Invited spaces may be regularised or more transient, such as an annual forum or a one-off intensive consultation period on an issue.

Created or claimed spaces: These are spaces created or claimed by citizens independently of government or by government and citizens together. They can emerge out of sets of common concerns, and may come into being as a result of popular mobilisation, such as around identity or issue-based concerns, or may consist of spaces in which like-minded people join together in common pursuits.

Occasionally, involvement in debates can allow an NGO a 'seat at the table', from which it can try to influence policies. Understanding such power relationships can help an NGO to determine its strategy, and avoid it being co-opted unwittingly by advocacy targets.

In many cases, it is the implementation of a particular policy that is the problem, not the policy itself. In such cases, research should focus on the blockages to implementation. For example, a government policy may dictate that there should be a certain level of sanitation per head of population throughout the country, but corrupt local councillors in some areas may have prevented the implementation of this policy. In this example, advocacy aimed at national level policy makers is misplaced. It ignores the root of the problem, whereas lobbying for a more open and accountable local council may prove more effective.

How does policy evolve?

When a government acknowledges a public problem, and agrees to do something about it, policy makers search for practical solutions in the form of policies.

It is important for NGOs and community organisations to fully understand how each of the different stages of policy making work in their respective countries, or context. It will help them to ensure their advocacy work targets the most critical stages of policy making – it is not sufficient to present the evidence to policy makers, and assume the rest will take care of itself. [4]

Key idea: *Public policy* [5]

Public policy can be described as "a course of action" taken by a government or policy maker, which most often results "in plans and actions" and effects "on the ground" – or lack of them.

Some examples of public policy might be:

- An expression of intent, usually by a politician. For example, to encourage economic development
- A programme of linked proposals detailing the way in which a government will address a broad set of issues under one banner. For example, Poverty Reduction Strategy Papers
- A formal government response to a specific public concern. For example, eradication of cholera
- A document setting out guidance in a sector. For example, water policy or land policy
- A national or local government budget

The policy making process, in whatever governance context it takes place, is complex. There are a number of overlapping phases, and within them many sub levels.

It is rarely a systematic, or even rational, process. It is often subject to pressure, power and politics of the kind described above. It may involve different groups, with competing alternatives. Sometimes, policy making can proceed without quite knowing what the problem is, or who is affected by it.

Quick and useful: *Examples of some phases of policy making*

- Agenda setting
- Policy formulation
- Decision-making
- Implementation
- Monitoring
- Evaluation
- Adjusting
- Reviewing

Theoretical analysis of policy making identifies two key 'classes' of actor:

A policy community. This includes the individuals and institutions involved in policy formulation. A particular policy community would involve actors that are interested in forming an analysis or set of alternatives for a policy.

The policy community is where the *knowledge* about a particular policy is located. For example in the WSS sector, the policy community may involve individuals and agencies within government responsible for WSS, as well as WSS-related NGOs, consultants, advocates, research and academic bodies and think tanks.

4 Chowdhury, N. et al. (August 2006) *CSO Capacity for Policy Engagement: Lessons Learned from the CSPP Consultations in Africa, Asia and Latin America* ODI Working Paper 272, Overseas Development Institute, UK

5 Research and Policy in Development (RAPID) from the ODI, UK defined at http://www.odi.org.uk/rapid/Tools/Definitions.html

A policy network. This is a subset of actors drawn from within the policy community. They work together, or interact regularly, to achieve specific change.

The policy network can be described as where *action* relating to a policy change takes place. The policy network that might seek to bring about change might include NGOs, and civil society organisations, their allies in donor communities, even government departments.

Accountability and legitimacy

NGOs are accountable to their donors, their board of trustees and their public supporters, some of whom may not favour advocacy work. Concerns about their opinions may influence the position an NGO takes on a particular policy issue. [6]

6 Chapman, J. and Fisher, T. (1999). *Effective NGO Campaigning*. New Economics Foundation, London

In response to increasing involvement of NGOs in advocacy work, some critics have raised concerns about legitimacy. This is a particularly live issue when NGOs from developed countries advocate on behalf of people in the developing world; there is the risk that those advocating make claims on behalf of others that cannot be substantiated.

While a growing closeness between NGOs and donors provides greater opportunities to influence, it can also be a 'mixed blessing' that NGOs need to be aware of and mitigate against. Donors may, in turn, influence (either explicitly or implicitly) the policy agenda of NGOs. [7]

7 Hulme, D. and Edwards, M. (eds). (1997). *NGOs, States and Donors: Too Close For Comfort?* Macmillan Press.

For effective advocacy, NGOs need to clearly set out the analysis behind any policy position they take, along with the research and evidence that informed it. This information needs to be made available to all stakeholders, including internal and external supporters of NGOs.

In practice: *How WaterAid gains legitimacy*

- WaterAid works with local partner organisations to implement integrated water, sanitation and hygiene promotion projects for unserved communities
- WaterAid develops good practices in service delivery, alongside its partner organisations. These are then demonstrated and promoted to others, including fellow NGOs, donors, service providers and local and national government
- WaterAid's direct experience of delivering services and of working with those who provide services enables it to understand service delivery challenges
- WaterAid engages in research and analytical work to understand the wider development context of WSS, root causes of problems faced in WSS and possible solutions to these problems. It works to change existing policies that are detrimental to the poor, and in the pursuit of universal access to WSS
- WaterAid also interacts with other water and sanitation actors at local, national and international levels, to increase and share knowledge about good practice, share research and jointly advocate solutions

Linking local, national and international advocacy

Advocacy may be targeted at various political contexts, but in the development sector it will most often need to be targeted at a number of different contexts at the same time – particularly at local, national and international levels.

Effective advocacy work, therefore, demands good communication between actors operating at these different levels. After all, the causes of the development problems that advocacy seeks to tackle are themselves complex and interconnected at every level.

- **Local to national**. When local projects require advocacy, the target of that advocacy might often be at a national level. For example, a local project to install water pumps might depend on advocating nationally for funding streams from which they can be paid. Such a nationally relevant advocacy issue cannot be tackled at a local level alone.

  Many national advocacy issues originally emerge at a local level where their impact is really felt. The 'feeding up' of local advocacy issues to the national level ensures officials and politicians are responding to the priorities of poor communities.

- **National to local**. Sometimes advocacy issues may well emerge only at a national level, for example, the development of a national sanitation strategy. Nevertheless, these 'policy windows' offer an opportunity to highlight the impact such policies have on local communities, and to bring local voices to the forefront.

- **International to national**. These inter-related processes are replicated at a national/international level too. For example, national NGO offices may wish to respond to an international issue – such as the conditions attached to World Bank lending. Meanwhile, national NGO offices may advocate at the international level on issues affecting their national policy agendas – such as how World Bank lending is actually used in country.

  Indeed, when global issues are addressed simultaneously at the international and national level, a much more powerful response can be given. An example is the global campaign on debt relief, and the Global Campaign Against Poverty. A similar power exists when national and local advocacy takes place on a unified issue.

- **National to national**. Exchanges can also work sideways with different national networks advocating on a particular issue according to their own particular context, or developing a series of shared national advocacy activities between one country and another country, or regionally, eg West Africa or South Asia Regions.

For international NGOs, this multi-level approach to advocacy is possible due to their organisational structures. Larger organisations may be connected to international networks through formal or informal links, while national and local NGOs may have access to national level networks.

This process of coordination and interrelationship between advocacy networks at different levels is important. Not only does it increase the legitimacy and relevance of advocacy work, but it enables vital support between levels and networks. Advocacy workers of national level organisations rely on detailed information from the grassroots to support their advocacy work; while they in turn can provide training, analysis, information and advocacy support to local organisations.

In practice: *Multi-level advocacy in WaterAid*

Examples of such interrelated multi-level advocacy work in WaterAid include:

- Joint research on issues of common interest to northern and southern audiences, such as on private sector participation in WSS
- Coordinated action on common objectives, such as working with governments (north and south) to get WSS on the agenda of international summits
- Joint preparation for international policy conferences
- Preparations and coordinated advocacy work at the South Asian Conference on Sanitation (SACOSAN)

Section 2 WaterAid and advocacy

WaterAid's vision is of a world where everyone has access to safe water and sanitation.

Today, more than 1.1 billion people do not have access to safe water and over 2.6 billion people lack access to effective sanitation. To tackle this crisis, WaterAid supports local partner organisations in 17 countries in Africa, Asia and the Pacific region as they work to deliver safe water and effective sanitation services to over a million people every year, and helps inform issues to advocate.

Advocacy increases the impact of WaterAid's programmes around the world. Effective advocacy can change global, national and local approaches to meeting poor people's water, sanitation and hygiene needs, with real results.

This section, which attempts to show how WaterAid approaches advocacy and why it is important to our work, should give you ideas as to how your own organisation might approach advocacy.

Advocacy can be a long and complex process. Yet the end result can be lasting improvements to the lives of millions.

What you will learn from this chapter

- Why advocacy is key to WaterAid's work
- What principles WaterAid adheres to in advocacy
- The strategic change WaterAid seeks through advocacy, and how it works towards achieving it
- How improved water and sanitation are vital to meeting the Millennium Development Goals

Why WaterAid does advocacy

In WaterAid, advocacy is at the very heart of our work to improve the water and sanitation situation of millions of people in the poorest countries of the world. We want governance of the water supply and sanitation (WSS) sector improved, so that all people enjoy access to these basic services. We are particularly concerned about the urgent needs of the poorest people.

Improved WSS governance requires all national service providers and public institutions to be accountable to all of their consumers and citizens. In order to create interventions to change the overall situation of poor people in any given country you must attempt to influence, change and make accountable the policies of the government in that country.

This is why effective advocacy is so important to every aspect of WaterAid's work.

Key idea: *WaterAid's commitment to advocacy*

WaterAid's corporate strategy for 2005-2010 commits the organisation to working with others to influence and change donor and government policies to favour pro-poor, sustainable and cost-effective water and sanitation services.

In all of WaterAid's advocacy work, we are guided by a set of overarching principles and values, through which we aim to maximise our impact. [8]

8 WaterAid's *Advocacy Strategy* (2000 – 2005)

- Advocacy projects and programmes must achieve long-term, sustainable change
- Effective and sustainable advocacy must be rooted in poor people's experiences; it should aim to build on their understanding of their experiences and help them to engage in the policy-influencing process
- All advocacy work should be based on clear evidence and analysis
- It should seek constructive engagement with advocacy targets, using a full range of advocacy tools such as lobbying, media, campaigning and networking
- It demands WaterAid works in partnership and collaboration with other like-minded organisations, not just service-delivery partners. WaterAid should support the water supply and sanitation (WSS) advocacy priorities of our partners in developing countries
- It should be based on the principle of solidarity; between WaterAid's supporters in the UK and the communities we and our partners work with
- The building of staff capacity within WaterAid, and among partners' staff and supporters, should be integral to advocacy work

The need for good WSS governance and investment

Governance in the WSS sector needs to be improved, and investment increased. These are the key aims of WaterAid's advocacy work because they can have profound and immediate benefits for poor people.

- **Better health:** access to safe water supply and sanitation is essential for human health. Water-related disease is the greatest cause of human sickness in the world. Poor people are particularly at risk
- **Better for women:** access to safe water and sanitation is particularly important to women, as it is they who disproportionately bear the brunt of water collection from distant sources and care for sick children and they who most acutely suffer from the lack of privacy and risk of assault where there is no toilet
- **Better education:** teachers are more likely to seek employment in a village with water, girls are more likely to attend and stay in school if there is a toilet, and children attend school more often when they do not have to spend hours each day collecting water from a distant source
- **Better use of time:** access to a safe water supply and appropriate sanitation offers a huge saving in time and energy. Fetching water can take many hours of women's and children's time every day, particularly in Africa, so improving WSS relieves this burden and frees up time for more productive activities
- **Economic benefits:** in developing countries, the ill health resulting from poor WSS creates an extra burden on already over-stretched health services and undermines spending in other key areas

What is blocking good WSS governance and investment?

In 2005 a WaterAid report, *Getting to boiling point,* brought together and analysed national water sector assessments from 14 African and South Asian countries where WaterAid works.

It revealed that the systems and institutions of governance in the WSS sector are weak in the majority of developing countries.

The report concluded that the fundamental blockage in getting universal access to WSS was weak accountability among those who are responsible for WSS services planning, policy-making, investment and delivery; namely government institutions, WSS providers and sector agencies.

The problem wasn't the lack of technical ability or expertise, but rather political will and accountability.

Getting to boiling point summarised the main blockages preventing more people from gaining access to water and sanitation services: [9]

- **Prioritisation:** water and sanitation are not priorities for governments
- **Transparency:** accurate information is difficult to obtain
- **Equity:** insufficient money is going to the places that need it most
- **Coordination:** many actors are involved at all levels, but effective coordination and collaboration is rare; competition between different water sector actors is common
- **Capacity:** responsibility to provide water and sanitation services is often devolved to local government and service providers, but they frequently lack the capacity to deliver
- **Sustainability:** little attention is given to ensuring institutions and policies are in place to achieve sustainable services
- **Privatisation:** donors still champion privatisation and make it a condition of aid, imposing a one-size-fits-all solution on diverse water systems' challenges. Meanwhile, public utilities are not supported to reform, and don't learn from other successful public utilities
- **Citizens' involvement:** there is minimal involvement and action from citizens in how their WSS services are provided. This contributes to weak accountability of providers and government
- **Forgotten by donors:** the world's richest countries are not doing enough to deliver on their MDG commitment of a global partnership for development

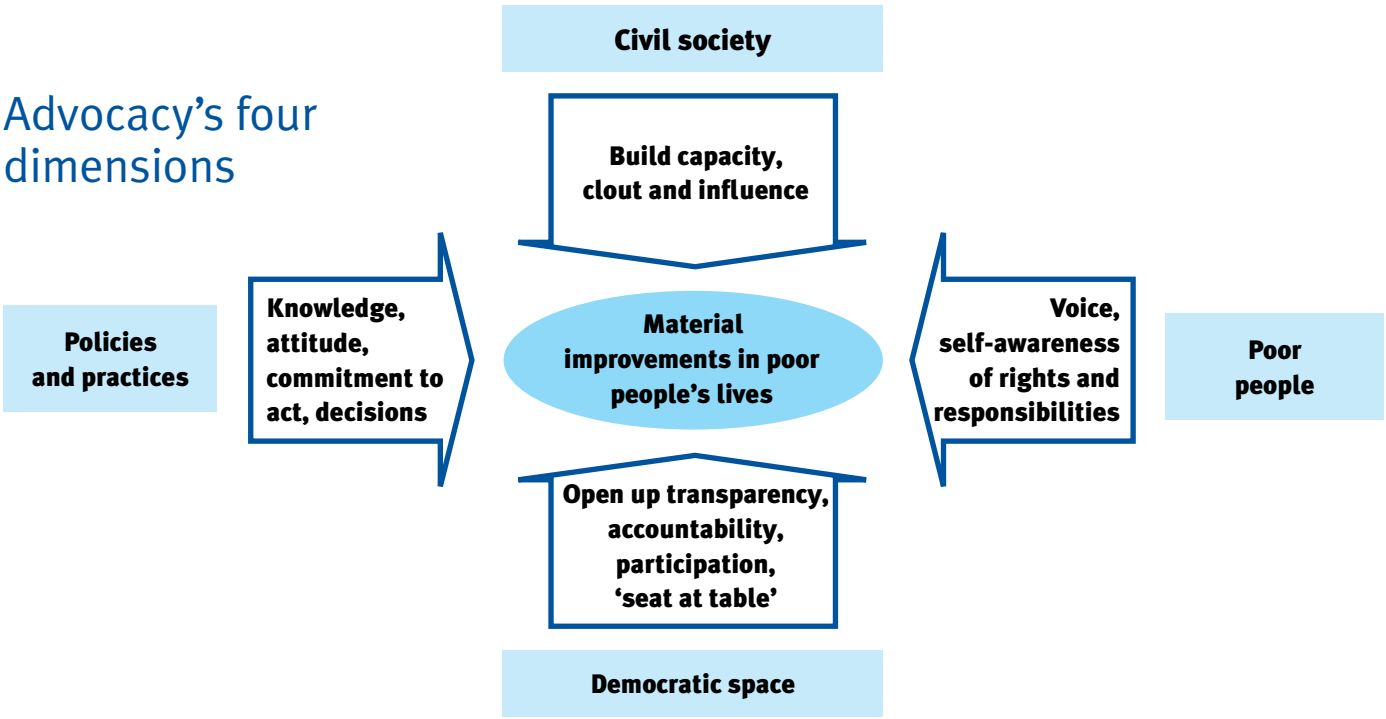
9 Redhouse. D. et al (2005) *Getting to boiling point: turning up the heat on water and sanitation,* WaterAid. Available at http://www.wateraid.org/boilingpoint

In practice: *How WaterAid does advocacy*

For any NGO engaging in advocacy, it is vital to be clear what change you are attempting to bring about, and the ways in which you can make that change happen. It is important too to identify the factors that will assist or hinder your advocacy successes.

WaterAid seeks change through advocacy in the following dimensions:

- **Policy:** we seek to change public policy, programme, practice and behaviour at all levels. Policy makers should be informed about the impacts of their policies on the poorest sections of society, as well as promoting alternative solutions
- **Civil society:** we seek to strengthen and expand civil society's capacity, organisation, accountability and power so that they can occupy their seat at the 'policy-making table'
- **Democracy:** we seek to improve the political 'legitimacy' of civil society to participate in policy making, as well as improving the accountability and transparency of public institutions
- **Individual gain:** we seek to improve the material situation of the poor, such as their living conditions and opportunities for health, education and livelihood. We also seek to expand people's self-awareness as citizens, with responsibilities as well as rights



WaterAid seeks to achieve the following strategic changes through advocacy:

- **Financing:** from all sources (national governments, donors, self-financing, local private sector, community and micro-finance) will be doubled and focused on sustainable and equitable access to WSS
- **Sector planning:** will become more accessible, transparent and accountable. It will be grounded in a consultative process in which all WSS stakeholders participate
- **Affordable sanitation:** will become a priority of governments and have its own strategy, budget allocation, institutional mechanism and performance monitoring. This includes all sanitation, whether household, public and environmental, in both rural and urban environments
- **Benefit to the poor:** urban water sector reforms and investment will benefit the urban poor and result in WSS services for all urban dwellers
- **Capacity:** local government capacity in WSS service delivery will be improved, and local government will work in a participatory way to plan, mobilise local resources, monitor and implement WSS services for all
- **Accountability:** greater parliamentary scrutiny and accountability of activity in the WSS sector will come from increased public awareness and media interest
- **Participation:** effective citizen participation will make WSS service providers more efficient, responsive and accountable to the poor

The critical factors in achieving these changes successfully are:

- **Political will**: creating the political will among governments and other service providers to serve the poor and voiceless; particularly to prioritise WSS and to reform public institutions towards this goal
- **Policy communities**: building the strength and capability of local analysts, researchers and other practitioners to combine their skills to contribute to evidence-based policy-making
- **Public action**: empowering poor people and strengthening civil society organisations and networks to hold governments and service providers accountable
- **Political space**: creating platforms for dialogue between governments, service providers and citizens for the negotiation of services, and policies that impact on services

WSS and the UN Millennium Development Goals

At the United Nations Millennium Summit in September 2000, 189 world leaders signed up to a set of Millennium Development Goals (MDGs). These bind the international community to tackling the most pressing issues facing developing countries. The MDGs offer an effective 'hook' for advocating a higher political and financial priority for action towards WaterAid's goal of universal access to WSS.

In practice: *The WSS Millennium Development Goal target*

Target 10 of MDG 7 pledges to "ensure environmental sustainability" in developing countries by reducing by halve the proportion of people without sustainable access to safe drinking water and basic sanitation by 2015.

Although the MDGs were signed in 2000, to start with the target only included specific mention of water and it took considerable advocacy work for another two years before a sanitation target was agreed. WaterAid and other UK NGOs, including Tearfund, its partner in the Water Matters campaign, lobbied governments to adopt resourced programmes of action for both water and sanitation. The Water Matters petition demonstrated to the UK Government the importance the public in the UK attached to these issues when a petition with over 120,000 signatures was handed into Downing Street in August 2001.

In 2002, at the Johannesburg World Summit on Sustainable Development, a firm target was set, to halve the proportion of people without access to adequate sanitation by 2015.

Access to clean water and adequate sanitation are key to the achievement of most of the MDGs. WaterAid believes that safe water and sanitation form the basis of all other development (see over page).

Our advocacy aims to powerfully show how investment in WSS has a profound and long lasting impact on poverty.

How water supply and sanitation is fundamental to all the Millennium Development Goals*

MDG	Link to WSS
Eradicate extreme poverty and hunger (Goal 1)	Without access to WSS: • Time and energy are lost searching for and collecting water • Poor health and frequent illness lead to lower productivity and lower income • Household time, energy and finances are consumed by coping with frequent illness • Child malnutrition is rampant, worsened by water-related illness With access to WSS: • Better health leads to greater capacity to develop and maintain a livelihood • Time and energy can be reallocated for productive activities and/or self employment
Achieve universal primary education (Goal 2)	Without access to WSS: • Diarrhoeal diseases and parasites reduce school attendance and drain children's energy • Girls are often obliged to stay home to help carry water and look after family members who are ill • Girls' drop-out rates are higher where schools have no separate toilet facilities for boys and girls With access to WSS: • Schools are healthy environments • School enrolment, attendance, retention and performance is improved • Teacher placement is improved • Girls feel safe and can maintain dignity while at school
Promote gender equality and empower women (Goal 3)	Without access to WSS: • Women in rural areas spend up to a quarter of their time drawing and carrying water – often of poor quality • Women and girls face humiliation, harassment and/or sexual assault when defecating in the open With access to WSS: • Women and girls enjoy private, dignified sanitation • The burden on women and girls from carrying water is reduced • The burden on women and girls from looking after sick relatives is reduced • Women gain increased roles in decision-making, and a more equitable division of labour is brought about • Demonstrating this can help to improve women's status in other ways
Reduce child mortality (Goal 4)	Without access to WSS: • Diarrhoeal disease, including cholera and dysentry, kills more than two million young children a year • Bottle-fed milk is often fatal due to contaminated water • Hookworms, roundworms and whipworms breed and debilitate millions of children's lives With access to WSS: • Better nutrition and reduced illness leads to physical and mental growth of children • Sharp decline in the number of deaths from diarrhoeal diseases

MDG	Link to WSS
Improved maternal health (Goal 5)	Without access to WSS: • Contaminated water and bad hygiene practices increase chances of infection during labour • Women face a slow, difficult recovery from labour With access to WSS: • Good health and hygiene increase chances of a healthy pregnancy • There is a reduced chance of infection during labour
Combating HIV/AIDS, malaria and other diseases (Goal 6)	Without access to WSS: • People face difficulty cleaning, bathing, cooking and caring for ill family members • Higher chance of infections due to contaminated water, lack of access to sanitation and hygiene, worsening overall conditions of diseased people • Of the global burden of disease, 23% is a result of poor environmental health, 75% of which is attributable to diarrhoea With access to WSS: • Fewer attacks on the immune system of HIV/AIDS sufferers, allowing better health • Better, more hygienic and dignified possibilities to take care of ill people, lifting the carers' burden • HIV treatment is more effective where clean water and food are available • HIV infected mothers are able to use clean water to make formula milk • Fewer contaminated water sources and less standing water around water points reduces breeding grounds for mosquitoes • Clean water and hygiene are important in reducing a range of parasites including trachoma and guinea worm
Ensure environmental sustainability (Goal 7)	Without access to WSS: • Squalor, disease and degradation of natural surroundings, especially in slums and squatter settlements • Rural rivers and soils continue to be degraded by faeces With access to WSS: • There is a sharp decrease in environmental contamination by faeces and wastewater • There are sustainable wastewater treatment and excreta disposal procedures
Develop a global partnership for development (Goal 8)	Under MDG 8 world leaders committed to four targets: to develop further an open, rule-based, predictable, nondiscriminatory trading and financial system which includes a commitment to good governance, development and poverty reduction; addressing the special needs of Least Developed Countries; addressing the special needs of landlocked developing countries and small island developing states; and dealing comprehensively with the debt problems of developing countries. For further information on all of the MDG commitments see the website: www.unmillenniumproject.org

* Table adapted from DFID 2004, & wsscc 2004 and presented in "Ensuring sustained beneficial outcomes for water and sanitation (WatSan) programmes in the developing world", Brian Mathew 2005 PhD thesis, IWE Cranfield University UK and published by IRC, Netherlands

Section 3 Rooted advocacy

Advocacy that attempts to increase the capacity of local communities is sometimes called 'rooted advocacy'. It describes giving a voice to communities, particularly those who are disempowered and vulnerable. In essence, it means involving local communities and local leaders as much as possible in advocacy work.

Rooted advocacy enables people to articulate their own needs and desires, giving them the confidence and capacities to influence decisions that affect their own future. [10]

10 Chapman, J. and Fisher, T. op. cit.

For NGOs in particular, rooted advocacy is vital. Most actively demand that local communities have a stronger voice in the issues that affect them, so NGOs themselves must involve local communities in their advocacy.

What you will learn from this chapter

- What rooted advocacy is
- How WaterAid uses rooted advocacy in the WSS sector
- How to build community capacity, so communities can advocate for themselves

Key idea: *rooted advocacy* [11]

For WaterAid rooted advocacy means empowering people who are directly affected by policies related to water and sanitation to become the key actors in bringing about the changes needed and not be passive beneficiaries. In practice this means that the people affected need to:

- analyse their situation with regard to water and sanitation
- determine the issues which arise from their analysis
- determine which are the priority issues on which to act
- identify their capacity needs
- speak on their own behalf

11 WaterAid Global Advocacy Meeting 1 (GAM1) 2002 *Key outcomes and learning document.*

Rooted advocacy means giving national and local civil society groups the support they need to build their capacity, in order to advocate for themselves.

It depends on communities having leaders that are able to articulate – sometimes forcefully – on behalf of the people they represent, as well as the means through which those leaders can communicate this information to those with power to change policy.

It also depends on good information flows. Communities need to be informed, by governments, agencies and other actors, about the issues that affect them, and about the processes that enable their involvement, and that exist so that their voices can be heard.

Of course, rooted advocacy is not easy or straightforward. It depends on community leaders having the inclination to participate, as well as the information and channels they need to do so.

Formal structures for consultation, such as community forums and consultation documents, are vital. Decision-makers will rarely wait to be approached with opinions from communities. Rooted advocacy demands, therefore, that different platforms for approaching them are provided as part of the policy making process. Such platforms need to be wide and accessible enough that differing community interests, for example those of women, can be voiced.

In practice: *WaterAid and rooted advocacy*

WaterAid is committed to building the advocacy capacity of those who benefit directly from the projects it supports, as well as the wider community and local civil society.

WaterAid's political change objective for the duration of the UN Decade of Action for Water (2005-2015) requires grassroots people and local civil society organisations to get more involved in scrutinising governments and service providers, and to participate more in the decision-making process.

WaterAid's guiding principles for rooted advocacy:

- Rooted advocacy aims to achieve long-term social change
- It must be informed by the people in whose interests WaterAid is advocating
- It must be rooted in poor people's experiences, and enable them to properly understand their experiences
- It must engage poor people's participation in the policy influencing process
- It must be based on clear evidence and legitimate analysis, not on empty rhetoric
- It must contribute to people becoming advocates on their own behalf
- All activities and audiences should be clearly defined for advocacy work to be effective:
  - so that goals are achievable and understood by those involved
  - processes for influencing are understood and made transparent to those involved
  - agencies and individuals within agencies to be influenced are identified
  - key messages are accurate
  - the delivery of messages is appropriate

A systematic understanding of good practice in rooted advocacy depends on the recognition that there is no 'right' way to do it. NGOs need to embrace the need for diversity and complexity. People and communities have existing knowledge, ways of working together and their own capacity that must be recognised and then tapped.

Rooted advocacy cannot be merely a process of transferring advocacy 'tools' and expertise, without recognition and understanding of the existing contexts in the community.

Building community capacity for rooted advocacy

In practice: *Raising grassroots voices to government*

In 2000, WaterAid in Madagascar supported its partner Taratra in strengthening community actors' voices in the WSS sector through a series of 10 'toko telo' workshops.

The workshops aimed to promote relationships between community-based water committees, local administration and government. 'Toko telo' means 'three rocks' indicating the three entities involved in the consultative process.

The workshops supported and voiced the concerns of the community through bringing together the three stakeholders. Community representatives learnt that by uniting their forces, they could effectively advocate for their interests. The advantage of building the network from below was that the committees could develop their ability and create relationships in the structured way needed to reach their objectives.

The result was that water committees in local areas were given a more authoritative voice alongside other development actors. They became a real catalyst for change.

Capacity building has to be both strategic and practical. Strategically, communities must be given the tools to properly understand and reflect on the issues they are faced with and the processes they have at their disposal to respond. Practically, communities need the tools, such as information and links with other like-minded organisations, to respond appropriately to what they have learned and decided upon.

Capacity building aims to:

- **Increase skills:** for lobbying, negotiation, public mobilisation, etc
- **Increase knowledge levels:** raising knowledge, awareness and analysis of the presenting problems and underlying policy issues, as well as the underlying causes of barriers such as poverty, inequality and poor access to information
- **Improve structures:** including mechanisms for coordination, networking and strengthening organisations
- **Increase resources:** for research, access to information, travel, and books, etc

Access to information is vital here. Introducing information, from a variety of sources, on an issue of concern can help stimulate critical analysis of the issue among communities. Such information may come in different forms, all of which are important. Formal knowledge, such as government policies and consultation processes, should be presented alongside emphasising the importance of informal knowledge, such as how a community views itself and its experiences.

The overall aim is to increase and emphasise a community's own awareness of its right to be heard, and confidence to assert that right.

Quick and useful: *Where is capacity building needed?*

Capacity building should fit into most stages of advocacy planning. NGOs and others might consider the following questions about where capacity building fits into their advocacy plans:

- Think skills, knowledge, structures, resources
- Whose priorities are you working on and how were they determined?
- Are the communities you or your partner organisations advocate for involved in planning your advocacy work? If not, how can you involve them?
- Are they involved in the implementation of your advocacy work? How can you involve them more?
- Have you shared all your information and analysis with them, as far as possible?
- Have they been involved in formulating solutions to policy problems?
- Can you increase their access to information and analysis?
- Do they want you to increase their capacity to influence?
- How can you increase their exposure to political processes?
- Are there any training needs that you can meet, or help them to meet?
- What contacts can you give them? How can you increase their networks?

Organisations may also need to consider how their own capacity for advocacy can be improved, and whether a process of internal capacity building is also needed. If your organisation lacks the right skills or knowledge, it can't carry out effective advocacy. (The following section will help you to identify training and other capacity requirements as part of the advocacy planning process).

Quick and useful: *Top tips on capacity building* [12]

- **Don't rush:** capacity building is a long-term process
- **Go local:** capacity is enhanced by respecting local value systems. Build on existing capacities by using local expertise, and draw on the strength of existing institutions
- **Voluntary:** capacity building draws upon voluntary learning, with genuine commitment and interest. Establish motives and incentives towards capacity building
- **Accountability:** frank dialogue, transparency and wide participation are essential, because capacity building is not power neutral. Remain accountable to your ultimate beneficiaries
- **Sustainable:** capacity is at the core of development, so capacity building should promote sustainable development outcomes
- **Be flexible:** the capacity building that you can provide must correspond to what local organisations want from you. Be flexible enough to respond to local needs and agendas
- **Commitment:** Stay engaged under difficult circumstances. The weaker the capacity, the greater the need

12 Adapted from Blagescu, M and Young, J. (January 2006) quoting Lopes and Theisohn (2003) *Capacity Development for Policy Advocacy: Current thinking and approaches among agencies supporting Civil Society Organisations* ODI Working Paper 260

In practice: *FEDWASUN in Nepal*

Across Nepal, hundreds of water users' committees are involved in the repair and maintenance of WSS projects at a local community level. But due to a lack of awareness, effective support and coordination, their efforts are not as effective as they could be.

Many communities remain without water, others fail to maintain the supply systems they do have. Many others are unaware of their own water related rights or the responsibilities of their government.

In July 2002, a water users' federation was established, capable of advocating on behalf of water users. The Federation of Drinking Water and Sanitation Users Nepal (FEDWASUN) was formally registered in Kathmandu in May 2004. By August 2006, 29 district branches from across Nepal had affiliated.

FEDWASUN is a people-based civil society forum. It advocates on practical and policy level issues from users' perspectives to concerned authorities.

On the one hand, FEDWASUN offers support towards solving WSS issues of users' groups through information collection, analysis and advocacy to the concerned agencies. On the other, FEDWASUN's role has developed into a bridge between people and service providers, because it has been able to coordinate participation of community groups.

Through its coalition, striking relationships at local and national level between the government and users' groups, FEDWASUN believes that people's voices can be heard.

Section 4 Planning for advocacy

Once you are clear on what advocacy is, the contexts in which advocacy can take place, and the important issues of community involvement, you can move on to planning your advocacy work.

The principles of planning advocacy are similar to those of planning any other programme, with the need for being clear about objectives and targets, and of course monitoring and evaluation. However, because advocacy often involves a political context, with stakeholders and targets each having their own agendas and influences, it can be somewhat more complex.

The advocacy planning cycle aims to identify the factors that might influence the outcome of advocacy. It also prepares NGOs to account for factors that have not been identified, as they arise.

A systematic and analytical approach to advocacy work, which properly researches the issues, identifies targets and desired outcomes, and which is clear about the key messages it wishes to get across, is most likely to result in a dynamic and effective advocacy strategy.

This section aims to show you how to develop an effective advocacy strategy, based around workable action plans. It offers practical techniques and a systematic framework for developing your own advocacy strategy.

What you will learn from this chapter

- How good planning is central to any advocacy strategy
- The principles of the advocacy planning cycle, and tools to make it happen
- How to research the issues properly before embarking on advocacy
- How to identify your advocacy's objectives, targets and messages

The advocacy planning cycle

Planning advocacy work is similar to any other project planning. It involves identifying what your objectives are, and how to achieve them. That leads to defining the activities you will carry out, and assigning responsibilities for making them happen.

The advocacy planning cycle is a useful method of organising your material, and the work you need to do. It will take you, step-by-step, from identifying the core issues you need to work on through to drawing up a specific action plan to implement your advocacy work.

The cycle can be split into two distinct parts – the first steps are more strategic in nature, the second develop that strategic background into a workable action plan.

Advocacy planning is a *cycle* because although there are some sequential steps, some steps run in parallel with others, or may change sequence according to progress. It is also a repetitive process: ongoing monitoring and review will lead to updating and adjusting the plan, as will different reactions to the advocacy among your targets.

Quick and useful: *Cycle timeframes*

Too often, NGOs tend to react to issues too late. Debates have taken place and decisions have been made, before they begin their advocacy work to change things they could perhaps have prevented in the first place.

Good advocacy demands an appropriate analysis of the timeframes involved in the issues you are working on. Careful monitoring of the direction policy making is taking will enable anticipation of the timescales, and may even allow NGOs to influence the timescales themselves.

In particular, there may be significant events and opportunities related to the advocacy issue, such as international conferences, consultation deadlines and meetings, that will need to be built into your advocacy activity. Failure to account for these will lessen the impact you can have.

In practice: *Getting the timing right in Ghana*

On 24 August 2005, The Ministry of Finance and Economic Planning in Ghana invited associations, groups and individuals to submit memoranda that would inform the 2006 budget.

WaterAid responded by collaborating with other WSS practitioners in Ghana. It advertised in two national newspapers calling on "actors and friends of water and sanitation" to work together to make their voices heard in the budget planning.

An advocacy forum was held in September that was well attended by representatives of local and central government, donors, civil society groups and sector practitioners. Discussions centred on low WSS coverage within Ghana, slow progress towards the MDG target for the sector and huge finance gaps. The links between WSS and other important sectors, such as health and education, were discussed.

The consensus was that water supply and sanitation should be a cornerstone of the Government's priorities and development agenda and that the MDG target for the sector would be missed if substantially more funding was not provided.

The meeting gave WaterAid evidence and support to call for increased funding for the WSS sector in the budget. A memorandum calling for more funding in 2006, and in subsequent years, was signed by all 'friends of the sector' and delivered to government departments.

The intervention was timely, feeding into the government's budget deliberations at just the right time, and targeting just the right decision-makers: ministers and the Parliament, which had the final decision on the budget.

The highpoint came when the Ministry of Finance requested electronic copies of the memorandum, and called for presentations of the facts and figures that it could use in budget presentations.

Before the end of November, the Ministry of Finance advertised in the *Daily Graphic Newspaper*, expressing its appreciation to individuals and organisations, including WaterAid in Ghana, for the input made.

Identifying the issues

In practice: *WaterAid's priority issues* [13]

These six policy themes have been developed as a response to critical gaps in national and international actions required to achieve water and sanitation related MDGs:

- Innovative water and sanitation financing models
- Urban water sector reform
- How to achieve the Sanitation Millennium Development Goal
- Local government and decentralisation
- Linkages between water and poverty
- Accountability, at local, national and global levels

13 WaterAid *Programme and Policy Sector Framework* (2006) Policy Advocacy-themes

The first step in planning advocacy work is to identify the issues you need to tackle.

To do that, however, you need to be able to prioritise the issues that concern you, and demonstrate their relative importance to those you aim to represent. To identify the key issues you want to focus on, you may need to narrow down a shortlist, examine each of these and prioritise them.

Quick and useful: *What is a 'good' advocacy issue?*

Use the following checklist to identify which advocacy issues you should prioritise. [14]

Will working on the issue:

- result in real improvement in people's lives?
- give people a sense of their own power?
- be widely and deeply felt?
- build lasting organisations and alliances?
- provide opportunities for women and others to learn about and be involved in politics?
- develop new leaders?
- promote awareness of, and respect for, rights?
- link local concerns with larger-scale, even global, issues?
- provide potential for raising funds?
- enable the organisation to further its vision and mission?
- be winnable? Does it have a clear target, timeframe and policy solution?

14 Veneklasen, L. and Miller, V. (2002) *A New Kind of Power, People and Politics – The Action Guide for Advocacy and Citizen Participation*. USA.

Researching the issues

Key idea: *The importance of research*

A detailed understanding of the issues you will be doing advocacy work on is vital in the earliest stages of the advocacy planning cycle. Only with research can you create a really rational argument, and provide the evidence to back it up.

Research gives your advocacy positions credibility. It provides the information you need to do proper planning, develop your messages, and carry out your lobbying.

Research can also assist you to build alliances, as you seek assistance to gather the information you need from other organisations and individuals. Indeed, working together on research with, for example, policy analysts and policy makers, can help forge close ties at a very early stage that can be useful at a later stage when you move into lobbying.

And if you work with organisations and communities to gather the information you require, you will also be helping to develop their capacity and citizenship skills – a key aspect of good advocacy.

The Overseas Development Institute (ODI) calls research "a systematic effort to increase the stock of knowledge." [15] It can also be described as "the systematic collection, analysis and dissemination of information." [16]

It is certainly important that your research is well structured and systematic and focuses on the critical issues. For every source of information, you need to analyse its credibility. It must be properly recorded in a useful way and an evaluation should be made of its usefulness to the issue under consideration.

In advocacy work, your research should certainly cover three vital aspects:

- Analysis of the issue
- Analysis of the context in which the issue takes place
- Understanding the timeframe to which your advocacy on the issue relates

15 Research and Policy in Development (RAPID) from the ODI, UK defined (2006) at http://www.odi.org.uk/rapid/Tools/Definitions.html

16 See Pratt and Loizos (1992), Choosing research methods: data collection for development workers. *Development Guidelines* No. 7, Oxfam, UK.

Quick and useful: *Credible research*

Research should be:

- Objective, not biased
- Representative of the whole group on whom it is focused, not a single viewpoint
- Accurate and reliable
- Methodical and systematic

There are some key stages in good research, which you should apply to gathering information before you begin your advocacy programme:

- **What information do you need?**

  It is useful to think of this in terms of what questions you need answering. Where are the gaps in your knowledge? Breaking down the required information into parts will help you plan to research it, particularly helping you to distinguish between information that will be easy to obtain, and that which requires more effort.

- **Where can you find the information?**

  You should identify sources where information already exists, gathered by other researchers, perhaps laid out in reports, government consultations, statistics or project plans. However, you should identify whether this secondary information is credible, reliable and up-to-date.

  In other cases, you may have to collect primary information yourself, from original sources. You might identify the need to carry out a field survey, or interviews, for example. Primary information can be gathered from a variety of sources, ranging from a survey of village residents to an investigation of the policy making process implemented by government.

- **Who will contribute to your research?**

  If you are to carry out primary research, you will need to identify who to interview or survey. For your research to be credible, you will need to ensure the group you research are a representative sample. You should attempt to have as broad and representative a sample of interviewees as possible, depending on your time and resources. It should offer an accurate reflection of the whole population, from which you can draw your conclusions.

  Will your sample simply be a randomly chosen percentage of the population you are analysing, or will you attempt to survey everyone in one particular area such as suburb? When defining your sample, you will want also to identify its key characteristics, such as water use, age, gender, household situation, as these may influence responses to your research.

- **How will you collect the information?**

  If you are carrying out primary research, it is important to record data accurately and systematically. That means being clear about how you will collect information, such as through interviews, questionnaires, observation, statistical analysis or another data collection tool (see below).

  Whichever method you use, you should ensure data collection is systematic, consistent, takes nothing at face value and can be cross checked. Additionally, your method needs to be flexible enough to record information if data findings move in an unexpected direction. Overall, your research methods must also respect people's culture and privacy.

In practice: *Creating credible alternatives in Karachi*

Research played an important role in achieving advocacy success in the Pakistani city of Karachi, where WaterAid funds the Orangi Pilot Project – Research and Training Institute (OPP-RTI).

Students there documented self-built sewerage facilities in low-income areas in the city, to enable the project to lobby the Karachi authorities with a realistic plan for extending low-cost sewerage to the city's poor communities.

Documentation provided by the students has been the basis on which the OPP has questioned government sewerage and drainage plans for the city of Karachi and has presented various alternatives which are cost effective and feasible without foreign loans.

As a result, four nallas (open drains) are being turned into box culverts, improving the lives of about two million people. This documentation has meant that the OPP has also been able to propose alternatives to the Asia Development Bank (ADB) funded proposal for the Korangi Waste Water Management Project.

Owing to the OPP proposal, the ADB funded proposal has been cancelled by the Governor of Sindh thus saving the Sindh government from a further loan of US$ 70 million and reducing the project price from US$ 95 million to about US$ 25 million. An important role in this decision-making has been played by the OPP publication *Proposal For A Sewage Disposal System For Karachi*.

In addition, the OPP also produced two volumes of the *OPP Survey of Karachi's Katchi Abadis* in Urdu and English. This publication had a major impact on policy issues related to water and sanitation in Karachi and led to the development of more rational, cost- effective and pro-poor programmes. [17]

17 From 'News from OPP-RTI Pakistan, November 2005' http://www.achr.net/pakistan2.htm

- **How will you analyse and present the information?**

  After collecting your information, it will need collating in a systematic way. Only this will enable you to analyse it properly, looking for patterns and deepening your understanding of the situation.

  You should then write up your findings, for yourself and for colleagues (even if it is only an internal document). The process of writing up your results will help you to analyse the information, and draw conclusions. Remember to include information on your methodology and sample.

Advocacy toolkit: *Research planning table*

The following table will help you to formulate what questions you need answered. It will also help you to break those questions down into more specific research questions. It allows you to record what possible sources of existing information might answer those questions, and how you might collate further information.

Topic/ research question	Sub-topic/ research question	Sources of information	Methods for information collection	Who's responsible/ by when should data be available

A version of this table was used by WaterAid to carry out WSS assessment research in 14 countries across Asia and Africa in 2004/5 for the *Getting to Boiling Point* synthesis report and country assessments published in 2005.

A full breakdown of two of the main topics included in this research is included in the Annexe for illustrative purposes.

See Advocacy Toolkit: WaterAid research planning table... p90

Quick and useful: *Using research consultants*

Do you have time and resources to carry out the necessary research within your organisation? If not, you might consider commissioning research from outside, such as from an academic institution, research institute or from another NGO.

Even when you commission research consultants, you will still need to be clear about what you want to find out, from whom, and how you want the information to be provided.

It is vital to draw up clear terms of reference for your consultant, outlining the purpose of the research, the key questions to be tackled, the timescale and budget. You should state how often you require a progress report, and how such updates are to be provided (face-to-face, reports, emails). Finally, you should state clearly what the product of the consultancy should look like, including its length and deadline for submission.

You should also consider how you will manage that consultant's work, and allocate resources appropriately. This should be drawn into the consultancy contract.

Tips for using consultants:

- Consider a tendering process, circulating the terms of reference and asking bidders to demonstrate their capacity to undertake the work.
- Agree a fee before work starts, and agree timescales, start and end dates, termination procedures, how expenses will be covered and how the consultant should claim expenses and payment, and whether they will be liable for tax.
- Ensure the contract states that the consultant should be available immediately following completion of the work, in case there are any questions or modifications needed.
- Be clear that the research results and report will be the property of your organisation, and cannot be used by the consultant without your permission.
- Draw up a contract, which both parties should sign. Attach this to the terms of reference, and make copies for each signatory.

See Advocacy toolkit: WaterAid Terms of Reference... p92

Tools for analysing the issues

Once you have identified the issues you are most concerned with, and have collected the relevant information about them, the next step in the advocacy planning cycle is to subject the issues to a thorough analysis.

By analysing your issues, you can identify how you can influence the issues and which stakeholders are best placed to attempt to bring about that influence.

There are a number of different ways of analysing an issue, but each of them really attempts to do the same thing: to break the issue down into smaller parts. This aids understanding of the issue, the context in which the issue operates and how you can bring about change.

Here we present four different tools for analysing your issue, and where it fits into your advocacy work: The problem analysis framework, the problem tree, the RAPID framework and the PESTLE analysis.

1. The problem analysis framework [18]

18 Miller and Covey (1997) *Advocacy Sourcebook: Frameworks for Planning, Action and Reflection*. Institute for Development Research (IDR), USA.

This method of analysis centres of splitting the issue under consideration into a list of sub-issues. Within each sub-issue, you will examine the consequences of the problem, its causes and any possible solutions.

Issue:			
Sub-issues	Consequences	Causes	Solutions
Sub-issue 1			
Sub-issue 2			
Sub-issue 3			

For example:

Issue: Access to drinking water in rural regions			
Sub-issues	Consequences	Causes	Solutions
Sub-issue 1: Insufficient boreholes in rural region	Rural residents spend hours collecting water every day from the few boreholes that do exist. Residents collect unsafe water from other sources. Etc	Ethnic bias in governance favours boreholes for some communities over others. Political motivated funding for boreholes in constituency of politicians. Lack of resources allocated to borehole creation Etc	Changes in policy, practice, laws, attitudes and behaviour Etc

Note that continually asking the question 'why?' helps to provide a full analysis of the problem.

For example, a deeper analysis of the causes of poor borehole provision may reveal overarching structural constraints that allow politically motivated allocation of resources to take place; for example, the debt burden on the national economy prevents sufficient spending on rural water supply.

2. The problem tree [19]

19 Start, D. and Hovland, I. (2004) *Tools for Policy Impact. A Handbook for Researchers.* ODI.

Problem tree analysis is one of many forms of project planning and is well developed among many development agencies. It is a visual method of analysing a particular problem, based around mapping the different aspects of the problem on large sheets of paper. It works particularly well when analysing an issue in a group. The 'tree' enables participants to visualise the links between the main issue and its resulting problems, as well as its root causes.

The tree's trunk represents the core problem, its roots represent the causes of the problem, and the branches represent the effects of the problem.

- Draw the shape of the tree on a large flip chart, and write the focal or key problem or issue on the trunk of the tree
- On smaller pieces of paper or card, write down the causes of the problem. These are placed on the tree as its 'roots'
- On other cards, write down the consequences that result from the main issue. These are placed on the tree as its 'leaves'
- In a group, you can negotiate with each other using the tree as a discussion tool, about the priority and placement of different leaves and roots. The heart of the exercise is the discussion, debate and dialogue that is generated as factors are arranged and rearranged, often forming sub-dividing roots and branches

The next step in the problem tree process is to begin to break down the causes of the problem, so that you can see where you may be able to have most effect.

- Take one of the key root (cause) cards, and make that the tree's trunk (key problem). You can now analyse *that* problem's causes in the same way, perhaps showing areas where you may be able to have influence

The final step is to use the tree to help you define your goals or objectives, why you should attempt to achieve your goals, and what you need to do to achieve them. You can convert the problem tree into an objectives tree by rephrasing each of the problems into positive desirable outcomes – as if the problem has already been treated.

- Write your goal on the trunk of the tree – this will be a reversal of the negative statement that made up the cause of the problem, defined in step two. For example, 'there are not enough boreholes in a rural area', would become 'sufficient boreholes in a rural area'
- To clarify the purpose of your goals, write on cards the benefits that will accrue if this goal is achieved. These become the 'leaves' of your tree
- Now, write on cards the steps or actions you need to take to achieve that goal. These become the 'roots' of your tree

Again, you can convert the negative statements that made up the roots of your problem, into positive statements. For example, 'insufficient funds are provided for WSS in the rural area', can be converted into 'make sufficient funding available for WSS in the rural area'.

Advocacy toolkit: *The problem tree*

Pro-forma diagrams of problem trees, as described above, are included in the Annexe.

See Advocacy toolkit: problem trees... p94

Key idea: *Credible solutions*

The search for credible solutions, or alternatives, is an important feature of advocacy planning. NGOs are often criticised for advocacy work that campaigns against a certain policy or practice, but lacks any realistic alternative.

Advocacy campaigns that do this risk being ineffective, and compromise the credibility of NGOs among advocacy targets.

Wherever possible, NGOs should present "well-developed alternatives which will guarantee rising living standards without the social and environmental costs imposed by current systems". [20]

Alternatives must include the results of research, and sound experience from a number of sources, backed up by supporting information about the viability of the alternative.

An NGO cannot simply present examples of its own good practice. Research, peer reviews and discussions with advocacy targets themselves can all contribute to this process.

20 Edwards and Hulme (1992), *Making a Difference: NGOs and Development in a Changing World.* Save the Children and Earthscan, London.

3. The RAPID framework

The Research and Policy in Development (RAPID) team at the Overseas Development Institute developed the RAPID framework to help develop an understanding of the policy and political influences on a particular issue, as well as identify that issue's stakeholders and policy actors.

To do advocacy work effectively, NGOs need to understand the power relationships involved in a particular issue, as well as the decision-making processes involved. If, for example, an NGO is planning advocacy work on the financing of WSS services in poor urban areas, an analysis is needed of exactly who makes the decisions about financing WSS services and how those decisions are made.

The RAPID framework helps to ensure that the right questions are asked to develop this understanding. This RAPID framework is set out on the following page.

Once you have identified the answers to the key questions in the RAPID framework, these can be used to determine the next steps you need to take in your advocacy work, and how to go about it.

For each answer to the questions, you should identify what action you might need to take in relation to the question, and how to go about it.

Advocacy toolkit: *The RAPID table*

A table illustrating some main actions emerging from the RAPID process, and how to carry out those actions, is included in the Annexe. You should use this table as you move from analysing your advocacy issue, to planning what action to take on it.

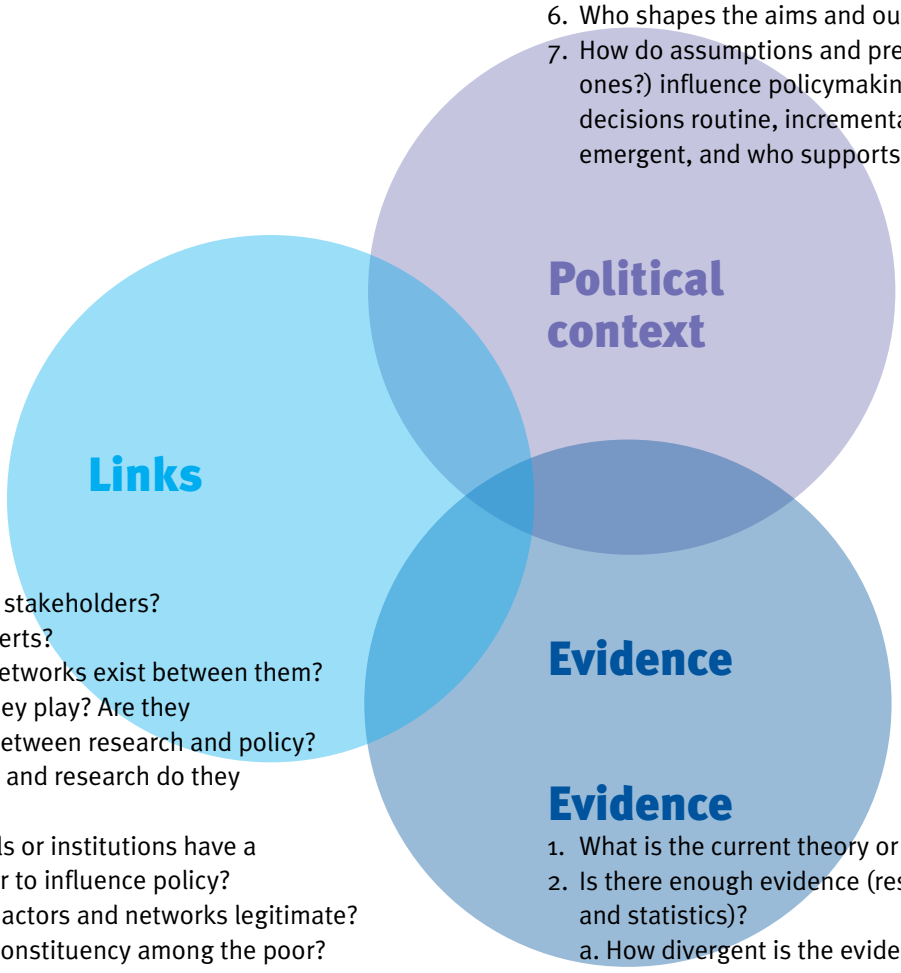
See Advocacy tookit: RAPID table... p96

External environment

1. Who are main international actors or donors in the policy process?
2. What influence do they have? Who influences them?
3. What are their aid priorities and policy agendas?
4. What are their research priorities and mechanisms?
5. How do social structures and customs affect the policy process?
6. Are there any overarching economic, political or social processes and trends?
7. Are there exogenous shocks and trends that affect the policy process?

Political context

1. Who are the key policy actors (including policymakers)?
2. Is there a demand for research and new ideas among policymakers?
3. What are the sources of resistance to evidence based policymaking?
4. What is the policy environment?
   a. What are the policymaking structures?
   b. What are the policymaking processes?
   c. What is the relevant legal/policy framework?
   d. What are the opportunities and timing for input into formal processes?
5. How do global, national and community-level political, social and economic structures and interests affect the room for manoeuvre of policymakers?
6. Who shapes the aims and outputs of policies?
7. How do assumptions and prevailing narratives (which ones?) influence policymaking; to what extend are decisions routine, incremental, fundamental or emergent, and who supports or resists change?



Links

1. Who are the key stakeholders?
2. Who are the experts?
3. What links and networks exist between them?
4. What roles do they play? Are they intermediaries between research and policy?
5. Whose evidence and research do they communicate?
6. Which individuals or institutions have a significant power to influence policy?
7. Are these policy actors and networks legitimate? Do they have a constituency among the poor?

Evidence

1. What is the current theory or prevailing narratives?
2. Is there enough evidence (research based, experience and statistics)?
   a. How divergent is the evidence?
3. What type of evidence exists?
   a. What type convinces policymakers?
   b. How is evidence presented?
4. Is the evidence relevant? Is it accurate, material and applicable?
5. How was the information gathered and by whom?
6. Are the evidence and the source perceived as credible and trustworthy by policy actors? Why was the evidence produced?
7. Has any information or research been ignored and why?

21 From Ian Chandler, (2006) *Effective Advocacy* training course materials. The Pressure Group. UK.

4. The PESTLE analysis [21]

A PESTLE analysis offers a framework for examining the external environment and trends that may affect the issue you are working on. Having drawn up a list of the PESTLE factors, you should identify which ones are significant to your work, as opportunities or threats.

Your problem is examined according to the following factors in the country in which you are working:

Political: including for example government and government bodies, legislature and judiciary, and any other political movements or pressure groups

Economic: including for example its GDP, debt, sources of government income, private sector employers, income distribution etc

Sociological: including for example demographics, education and health, employment rates, land ownership and media

Technological: including for example information technology infrastructure, access to telecommunications

Legal: including for example the restraints and other legal factors relevant to your advocacy work

Environmental: including for example deforestation and desertification, pollution, drought, flooding, wildlife and/or agriculture

Quick and useful: *Assessing the risks*

In some countries speaking out on some political, economic, legal or environmental issues may endanger personal safety for the advocates themselves, or for those whose issues they champion. These factors need careful consideration when planning advocacy work, and the above tools should enable you to do this.

Obtaining the consent of anyone who may be at risk, and ensuring that the risks are understood and mitigated, is vital. Working in alliances with other organisations can help in these circumstances. Alternatively, individuals or groups can work anonymously through external organisations (such as those with an international profile), levering pressure on decision-makers without endangering themselves.

In practice: *Analysing policy vs practice in Mozambique*

After years of civil war, history has left Mozambique one of the poorest nations in Africa. Millions of people live well below the poverty line; the average Mozambican has a life expectancy of below 40. There, WaterAid has focused on developing local capacity to provide WSS infrastructure, coupled with social facilitation programmes designed to bring about positive change in hygiene.

The government's policy manual states that communities should be responsible for the operation and maintenance of any water systems, and that they should be allowed to choose the most appropriate technologies.

However, WaterAid's analysis revealed that the locally manufactured Afridev handpump, was in practice being used by government and its partners as the official and sole technology option. This technology was shown to be unsustainable for the majority of communities, due to the high cost and poor availability of spare parts, as well as weak training provided to the community for pump maintenance. WaterAid decided to seek out other appropriate technology options that could be promoted to the government, so as to sustain people's access to safe water.

In 2002 WaterAid held a workshop to which they invited 'Bombas de Mecate' from Nicaragua to introduce government and private sector partners of WaterAid to the rope pump and its application in Nicaragua. WaterAid and its partners finally decided to adopt and adapt a rope pump model developed in Madagsacar as it was felt to be the most appropriate for Mozambique. An installation programme began in 2003 after WaterAid partners included both the rope pump and the Afridev handpump in their community education programmes. Many communities selected the rope pump as their preferred technology because it was viewed as cheaper, easier to maintain and the required spare parts such as ropes are generally more available locally than are Afridev spares.

Ongoing meetings were organised to monitor the development of the rope pump in the Niassa and Zambézia provinces, to enable others to learn about this technology and to develop improved material specifications for manufacturing contracts. Finally, in 2005 the National Directorate for Water (DNA) officially accepted to pilot the rope pump in three provinces. This was supported by WaterAid in Niassa, UNICEF with WaterAid's technical assistance in Zambézia and CARE in Cabo Delgado. The Swiss Agency for Development Cooperation (SDC) provided vital coordination, funding and technical guidelines support to this group.

Following three annual evaluations of the pilot, indications are that Cabinet Ministers will soon approve the rope pump as the official second handpump technology. It is a huge breakthrough for the sector.

In the long term, this could make it easier for WaterAid and its partners to innovate, develop and implement sustainable water and sanitation projects in the country.

Setting objectives

Following research and analysis of the issues, along with its associated power relationships, the next stage is to begin drawing up specific objectives for your advocacy work.

You need to define exactly what you want to happen, and by when. Setting objectives will enable you to be clear about what you are trying to achieve, and will assist you in your planning and design of advocacy activities. In the longer term, clear objectives will also allow evaluation and monitoring of your advocacy work.

One well established way to determine what your key objectives or strategies might be, is to subject your issue to a thorough SMART analysis.

Specific: what exactly do you want to happen?

Measurable: will you know when you have achieved it?

Achievable: is it realistic or even possible to achieve your objective, given your resources and time?

Relevant: is it relevant and appropriate to all stakeholders, and to the problem itself?

Timebound: by when do you want it to happen?

In practice: *SMART WSS objectives*

Some SMART advocacy objectives, for example, might be:

- To convince the Ministry of Education to agree to adopt a national hygiene promotion programme, as part of the curriculum for all primary and secondary school age children, within 12 months
- To increase funding for sanitation provision in the five poorest districts by 50%, within 18 months
- To convince the District/Municipal Chief Administrative Officer and the District/Municipal Assembly in a specific district/municipality of the value of NGOs in delivering WSS services to villages during the development phase of the authority's new strategic plan
- To repeal the city ordinance that prevents the water utility from connecting households in slum areas to its service within the next two years
- To ensure that the price subsidy for water and sanitation services go to the poorest 20% households in the town as soon as it is implemented
- To ensure that the national economic and development planning authority includes WSS coverage targets in the country's new five year development plan

Some not so SMART advocacy objectives might be:

- To promote hygiene education in schools
- To promote sanitation use among poor communities

Identifying targets

Advocacy work is all about influencing those with the power to effect change. Your research and analysis should, by now, have highlighted what changes you would like to bring about, and the political and other factors involved in the issues you are concerned about.

The next step is to identify those who are most likely to be your allies in your advocacy work, and those who can be convinced to become allies, or at least facilitators to help you. You will also need to identify those who stand in the way of you achieving your advocacy aims.

You will need to identify exactly who you need to convince and influence in order to bring about change. These are your advocacy targets. Most importantly, you need to tailor your 'ask' according to what your targeted decision-maker is capable of delivering.

Advocacy toolkit: *WSS stakeholders*

A breakdown of WaterAid's key stakeholders for in-country projects to improve WSS services is included in the Annexe, for illustrative purposes.

See Advocacy toolkit: WSS stakeholders ... p97

It is useful to begin the process of identifying your target by identifying all of the stakeholders and actors involved in your particular issue. These can be quickly be classified according to their role, in relation to the advocacy issue. Your targets, friends, community stakeholders and others should all be included in the matrix.

Adversaries those who oppose your position but who may not be directly responsible for decision making	**Beneficiaries** or **constituents** the people you represent
Allies individuals or organisations that can help you reach your advocacy goal	**Internal stakeholders** colleagues and others from within your organisation that have a stake in the process and the result

It is important to remember that a matrix such as this is not static, and nor is it strictly drawn. Groups may move from being adversaries to being allies (or vice versa) as your advocacy work progresses. Your beneficiaries may also begin as adversaries to your work, and may need convincing of its validity.

Quick and useful: *Social epidemics*

One way to understand the interplay between stakeholders involved in a particular issue, and how those relationships can lead to success in advocacy, is to understand how social trends sometimes spread like a virus. A small change can 'catch on' as a good idea, leading eventually to a dramatic change.

Malcolm Gladwell in his book *The Tipping Point* [22] suggests that ideas spread first through exposure and contagion, secondly due to small causes, and thirdly through a dramatic rise or fall in one moment "when everything can change all at once".

22 M. Gladwell (2000) *The Tipping Point* Abacus

As such, a small feature can 'tip' a small trend into a huge trend, and the influence of a few individuals can make a big difference if they have the necessary qualities. The key players in this process are:

Connectors: networkers who know how to pass information to, and are respected for their access to key players

Mavens: information specialists who aquire information, and are able to educate others

Salespersons: powerful, charismatic and persuasive individuals, who are trusted, believed and listened to

If you can identify the above players in your own issue, they may well become some of your targets.

Once the key stakeholders and influentials in a particular issue have been identified, it is worth analysing them and their position, so that you can target your advocacy in the right place. There is little point in spending resources trying to convince either someone who is already supportive of your cause or, someone who is not in any position to be able to make decisions that will help your advocacy objective to be reached.

Advocacy toolkit: *Stakeholder analysis table*

An analysis will offer clarity about your allies, adversaries and targets, and help you prioritise and strategise.

For each stakeholder, you need to identify three things in relation to your issue:

- What is the attitude of the stakeholder to your position? (for instance, very anti, anti, neutral, pro, very pro)
- How important is the issue to your stakeholder?
- How much influence does your stakeholder have on the issue?

A pro-forma table is provided to enable this analysis, in the Annexe.

See Advocacy toolkit: Stakeholder analysis table ... p98

Using the stakeholder analysis table from the Advocacy Toolkit above, you can now begin to prioritise stakeholders in terms of whether they should be a target for your advocacy work.

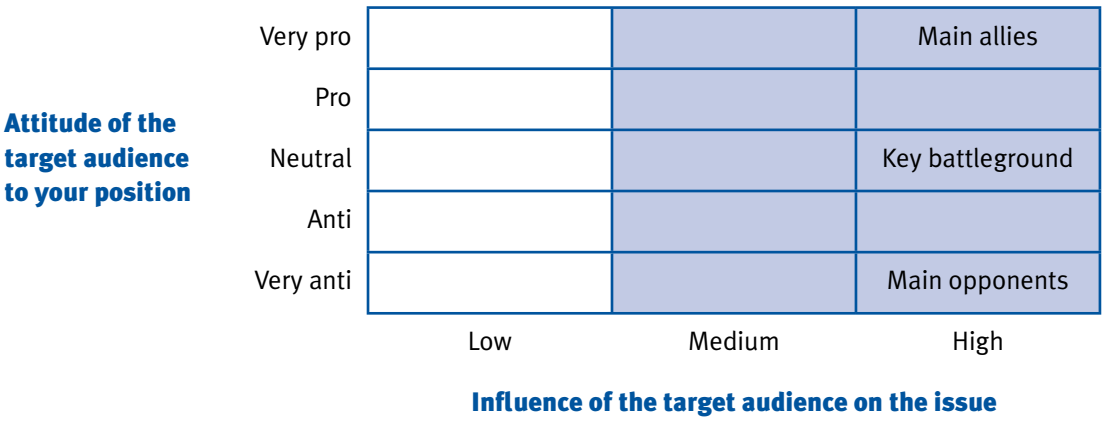
In short, stakeholders who regard the issue as important, and who also have influence over that issue, are likely to be your key targets, as the following diagram illustrates:

Importance of the issue to the target audience				
	High	Secondary audience	Priority audience	Priority audience
	Medium	Ignore	Secondary audience	Priority audience
	Low	Ignore	Ignore	Secondary audience
		Low	Medium	High

Influence of the target audience on the issue

A similar analysis will allow you to identify those who are likely to be your key allies and opponents in relation to your advocacy issue.

- ▶ Those who have most influence but are most anti- your position, will be those where the key convincing will need to take place;
- ▶ Those with the most influence and who are most in favour of your position, are likely to be key allies.
- ▶ Those with high influence, who are neutral on your issue, could well be your key targets at the earlier stages of your advocacy work.



Key idea: *Influentials*

When drawing up your list of stakeholders and targets, it is useful also to identify secondary targets at the same time by looking a little deeper into the decision-making process.

Often, you may not be able to reach decision-makers themselves, however effective your advocacy planning. Instead, your advocacy may need to be targeted at those who *do* have access to decision-makers. These 'influentials' may be your most important route to bringing about change through that relationship. [23]

Influentials can be found in a variety of places, and not just among those officially part of a decision-maker's immediate circle. They include the media, members of parliament, donors, faith leaders, other government departments and trade unions.

23 Ian Chandler, op. cit.

Once your key targets are identified in this way, you can decide how best to attempt to influence them. There are a number of ways to influence stakeholders, based on the matrix analysis you have already used.

For example, you may wish to attempt to convince a stakeholder who currently regards your issue as low priority or of low relevance to them, to increase their prioritisation of or interest in it.

Or, you may seek to increase the influence of allies and those who are pro- your position; or indeed reduce the influence of those who are anti- your position.

Advocacy toolkit: *Comprehensive target analysis*

Upon identifying your key targets for advocacy work, you can ask yet more questions that will clarify exactly where your work should be targeted in order to convince them.

For each target, you might ask:

- What do they know about the issue?
- What is their attitude towards it?
- What do they really care about?
- Who has influence over them?
- What influence or power do they have over the issue?

An example table, drawn up for a fictitious WaterAid advocacy initiation, is provided in the Annexe for illustrative purposes.

See Advocacy toolkit: Comprehensive target analysis ... p99

In practice: *Tanzanian government as target and influential*

From 1991 to 1996, WaterAid in Tanzania developed an innovative partnership approach to WSS in the Dodoma region. WaterAid brought together staff from the government Water Department, the Community Development Department and the Health Department to work in district teams for the provision of integrated water, sanitation and hygiene promotion.

It was recognised as a successful approach by central government. In early 1998, WaterAid was asked to join the national steering committee finalising a national rural water policy, and to share its experiences learnt through the district teams' work on issues such as community participation and cross-departmental partnerships.

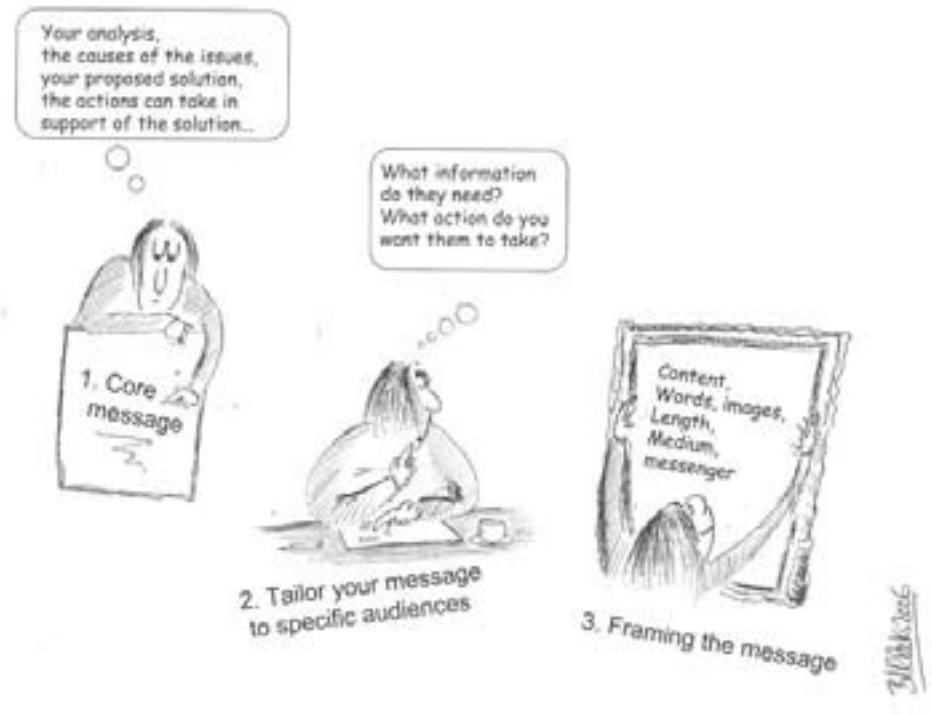
That the government recognised and sought to replicate this partnership approach was a result of advocacy work by WaterAid's local and national staff.

It was also a result of advocacy by government officials who had been part of the inter-departmental work, and those who had responsibility in the WSS sector and had seen how effective it could be.

The latter promoted the programme's approach at national level conferences, and through arranging project visits for Ministers, Members of Parliament and other important officials. In this way, the government was not only a target, but also an influential and an advocate.

Clarifying your message

Your message is a summary of the change you want to bring about, based on the work you have done to research your issue and identify key targets. Using solid information and analysis, groups can develop their position on an issue, create compelling arguments and design a message that communicates all this in a nutshell.



Communication of this message is central to effective advocacy, as is communication in general – between your allies and stakeholders, but also in the presentation of your messages to external audiences, from policy makers to affected communities.

Creating a single message enables all stakeholders – from writers of advocacy materials and event organisers, to spokespeople, staff and volunteers – to be united in the advocacy message. [24]

24 Ian Chandler, op cit.

Key idea: *Framing*

"What underlies all advocacy efforts is a proposed change in power equations – an essentially political activity. And in the political world, there is no issue which is seen as completely just or right to all parties or individuals... Framing the issue therefore demands both a detailed study of the targets and a comprehensive knowledge of one's own issue." [25]

25 NCAS/Christian Aid (1999) Advocacy workshop. SEARCH. Training Centre. Bangalore, India.

You should draw up a single message that all communications should promote. It is not a slogan; indeed the actual words might not be used in public. It is a short phrase which specifies the main message that you want your audience to remember. It is useful to test your single message on other people, including those who do not work on your issue, to check that it is easy to understand.

Quick and useful: *A clear message*

- Should summarise the change you want to bring about
- Should be short and punchy, just one or two sentences
- Should be understandable to someone who doesn't know the issue, and be jargon free
- Should include a deadline for when you want to achieve your objective
- Should include the reasons why the change is important
- Should include any action you want the audience to take in response
- Should be memorable

In practice: *WaterAid proposition*

WaterAid's work with Bangladeshi NGO, Dushtha Shasthya Kendra (DSK), has established several water points in the slums of Dhaka. However, with the exception of separately negotiated, project-supported water points, the Dhaka Water Supply and Sewerage Authority still only recognises official land ownership as the basis for rights to a water supply.

To help overcome this challenge, and create water points throughout Dhaka's slum communities, DSK and WaterAid has developed the following message:

"Government authorities need to de-link provision of services from land rights and recognise the needs of unofficial slum communities within the next three years." [26]

26 Ahmed. R. (2003) DSK: a model for securing access to water for the urban poor. Fieldwork report. WaterAid in Bangladesh.

Framing your message

Once your key messages are established, they will still need to be 'framed' according to the audiences you are seeking to reach.

While your overall position on the advocacy issue does not change, you should seek to adapt the way you present your message to achieve the greatest impact on a particular audience.

Understanding the issues your advocacy target cares about enables you to make links in your message between your issue and their concerns, and therefore increases the likelihood of a positive response from your target.

27 Ian Chandler op.cit.

However, the process of defining and framing the message also has to be consistent with your overall position. Framing the message has to be done without diluting the facts, compromising core values, or undermining the people you work with. [27]

- **Who to frame your message towards**: Your analysis of the issue, and who is responsible and influential in policy change, will determine how you present your core message to that particular audience

- **Tailor the message**: What is the most persuasive way to present your core message to the target audience? What information do they need, and what don't they need? What key action do you wish them, in particular, to take?

- **Effective framing**: Which practical frame will make your message more effective? What should it contain? In what format should it be delivered? Length, images and even messenger are important.

For example, the issue of lack of clean water and sanitation facilitates, would be framed differently according to the audience the message was aimed at:

Audience	Message
Finance Ministers	Nationally, diarrhoea accounts for 20% of under five child mortality and intestinal parasitic infections continue to undermine maternal and child nutritional status, physical and mental development. In 2000 the government pledged to reduce by 2015 the number of children who die before their fifth birthday by two-thirds as one of the Millennium Development Goals (MDGs). A small investment in clean drinking water and low-cost sanitation facilities will yield a large return in relation to child and adult health and survival. We would like to request a meeting with you to discuss this issue further.
Parliamentarians	Research across a number of countries has shown there are wide ranging impacts realised through access to water and sanitation. These include time saved from fetching water; calorie-energy saved; improved health, especially for children; positive and significant environmental impacts; increased agricultural production; avoided days lost from school; increased community capital as well as increased psychological benefits. In addition ongoing support for communities increases their ability to sustain both water and sanitation supply systems and also hygiene behaviour changes. We know that when asked poor people put access to water as one of their top three priorities, if not their top priority. We would like to request a meeting with you to discuss these issues further.
Health professionals	The World Health Organisation asserts that 65% of infant deaths from diarrhoeal diseases, like cholera, in developing countries could be prevented by providing safe water and sanitation. It has recently been estimated that diarrhoea is the second biggest killer of children in the world's poorest countries. Access to clean water has wide ranging health benefits for communities and environmental improvements like sanitation have bigger impacts and lower costs than curative medicines. We would like to request a meeting with you to discuss some joint work with you.
Broadcast media and the press	Wangai is six years old. His mother walks five kilometres each morning to the nearest clean water point to collect drinking water for the family. However, when Wangai and his friends are thirsty, they drink from the nearby riverbed. That's also where the cattle and goats drink. Wangai's family have no latrine and use the riverbed in the early morning before it is light. Wangai has two brothers and one sister: he had another two sisters but both died of dysentery before they were four years old. Wangai has visited his cousin who lives in the nearby town, where there is a good water supply and each house has a latrine. He has seen that his cousin's family do not fall ill and his aunt has lost no babies because of sickness. He wishes there were similar facilities in his village.
General public	Clean water saves lives: water-borne diseases and poor sanitation today claim thousands of lives in rural Tanzania. Each village should have at least one borehole and adequate latrines. Talk to your local councillor today to find out how you can help to bring life-saving facilities to your own village and see your children flourish.

The medium

Effective messaging relies on careful attention not only to the message itself, but also how it is transmitted – known as the 'medium'.

It is worth considering the most effective medium to carry your message, and the most effective messenger to deliver it – all of this will be determined by the audience you are trying to reach.

Quick and useful: *The medium and the messenger*

Medium

- Letter
- Phonecall
- Meeting
- Press release
- TV/radio interview
- Leaflet
- Poster
- Press advertisement
- Research paper
- Conference

Messenger

- Member of staff
- An organisation
- Independent expert
- Celebrity
- Neutral narrator
- Beneficiary

Section 5 Making advocacy happen

This section will help you to build on the strategic background – research, identifying targets etc – you have developed for your advocacy, and to convert this into action plans.

It offers theory for good execution of advocacy action plans, with some case studies of how WaterAid has carried out this kind of work. The following chapter offers actual methods of carrying out advocacy, ranging from lobbying meetings to mounting media campaigns.

Key to this chapter is an examination of the action based steps in the planning cycle (see page 30). Remember, the advocacy planning cycle is only a tool. In the real world, you will have to adjust both your planning and your actions, and do things in a different or parallel order. You may even have to return to earlier steps, in light of information or progress as it emerges.

What you will learn from this chapter

- What some key advocacy actions are
- How to examine what resources, capacity and budget you have, for carrying out actions
- How to strike stronger partnerships, for more effective advocacy
- How to plan your advocacy actions

There are a number of approaches to advocacy, and a whole host of activities that can be used to mount advocacy work. These specific advocacy actions are outlined in the following chapter, but this chapter will show you how to create a plan to implement various actions as part of your advocacy on any particular issue.

Advocacy actions can be grouped under four broad headings:

- **Lobbying**: the process of trying to directly influence decision-makers, such as politicians, civil servants, or corporate chief executives
- **Public campaigning**: activities to engage the public, and to mobilise visible support for your position
- **Media work**: raising public awareness of your issues, with a view to changing public attitudes and behaviour, and encouraging support for your other advocacy actions
- **Capacity building**: increasing the knowledge of those affected by a particular issue, and increasing their skills and developing their structures to enable them to carry out their own advocacy

The next chapter breaks these different elements down into concrete actions. These streams of advocacy actions can work to complement each other. Any advocacy project will need to work on several levels, employing each of these categories of action, if they are to address governments, donors, the public and the media.

While your emphasis in some spheres will depend on the context and different activities will be employed as a result, you are still likely to need a broad range of activities to achieve your goal.

In practice: *Reaching the World Bank*

At a WaterAid seminar on civil society advocacy for international water policy, a presentation focused on policy making in the World Bank and the role of civil society.

Three different strategies were suggested for achieving influence over the World Bank:

- Be noisy, so they can't ignore you
- Develop a relationship where you are considered to be an important ally or important 'player' in the sector
- Be an unquestionable authority on your topic, so they seek your advice

An advocacy project may employ different approaches simultaneously, aimed at different target audiences, or feature one approach aimed at the same target audience over time. This is where partnership working (see below) begins to become particularly important.

Through collaboration, two different organisations can employ different approaches to the same advocacy target, using their strongest skills and resources, whilst working towards the same end.

Key idea: *The advocacy continuum*

There is a range of approaches to advocacy, some of which are confrontational, while others involve working alongside advocacy targets to achieve desired change.

You might think of these different approaches as belonging to an inter-related continuum:

cooperation – education – persuasion – litigation – contestation [28]

In the case of WaterAid, for example, a similar continuum is used:

expose – oppose – compose – propose [29]

Because of WaterAid's relationships with government, and track record in information and evidence provision, WaterAid's advocacy actions tend to fall into the second half of the expose – oppose – compose – propose continuum. WaterAid's 'insider' actions include providing information, lobbying, giving advice and sharing knowledge.

Meanwhile, some other NGOs and community organisations in the WSS sector tend to focus on the first half of the continuum. Their 'outsider' actions are more likely to be campaigning, lobbying and media work.

To make advocacy work more effective, the gap between such 'insider' and 'outsider' advocacy approach needs to be bridged. Both parts of the continuum need to be mixed, to achieve advocacy goals.

28 Miller and Covey (1997) *Advocacy Sourcebook: Frameworks for Planning, Action and Reflection.* Institute for Development Research (IDR), USA.

29 WaterAid Global Advocacy Meeting 1 (2002) *Key Outcomes and Learning from WaterAid's First Global Advocacy Meeting.* UK.

What resources and capacity do you have for advocacy?

Before you can finalise which activities you will carry out, it is vital to consider what resources you have at your disposal.

In reality, you are likely to have to continually consider resources as you make progress with your advocacy actions. Assessing and allocating resources before you begin advocacy work is not always possible.

Indeed, part of your advocacy work may be to raise finances or lever additional resources in order to carry out other advocacy work.

The resources you have available for advocacy work will be a mix of financial, human capacity and common or shared knowledge.

Examining each of the elements in turn will enable you to identify any gaps that need filling before you can begin a particular action.

- **Money**: what money do you have available for this advocacy project? Where is money coming from: your organisation, partners, other funders? Are there likely to be cashflow problems, or difficulties getting authorisation for spend? Roughly how much do you think you will need to implement the activities you are considering? Is your budget realistic, and based on actual costs or quotes?

- **People**: who will be available to work on the different aspects of the project?

- **Skills and experience:** do the key people have the right skills and experience? If not, can you train them or get other people involved?

- **Other human resources**: do you have access to other people who can help? Do you have volunteers to distribute leaflets, campaign supporters to write letters, community members to attend meetings?

- **Partners**: what could potential partners deliver?

- **Information and knowledge**: have you been able to do enough research and analysis on the issue, on your objectives and solutions, and to identify your targets? If not, do you need to look again at the earlier steps in the advocacy planning cycle?

- **Relationships**: what relationships do you, your staff, volunteers and partners have which you will be able to use? These may be among target audiences, influentials or in practical areas such as materials design or the media

- **Reputation**: do you or your partners have a strong reputation among the target audiences, with the public or the media? If not, have you developed strategies and tactics to get around this? Can you recruit influential spokespeople or celebrities to speak on your behalf? Do you need to work in partnership with another, better-known organisation?

- **Time**: do you have enough time to implement your project effectively? Are there particular deadlines that you have to meet? Are there external events that you wish to use, such as elections, national or local political meetings, government planning cycles or international summits?

Advocacy toolkit: *Sample budget*

A basic sample budget for an advocacy project is included in the Annexe. This may be a good starting point for drawing up your own draft budget.

See Advocacy toolkit: Sample advocacy budget ... p100

Forging the right relationships with allies

Partnerships, alliances and even short-term coalitions can greatly enhance advocacy by bringing together the strengths and resources of diverse groups to create a more powerful force for change.

Coming together to bring about social change is nothing new to people in the developing world. Improved communications technology and the challenges of sustainable development are leading to stronger alliances among civil society organisations.

The entry of such partnerships into public policy is a positive step, that provides new opportunities to engage in collective advocacy.

Key idea: *Advocacy alliances*

Relationships amongst advocacy allies come in many shapes and sizes, and are described in various different ways: alliances, networks and coalitions. What they have in common is that they link individuals and organisations that share common values and concerns, and which are working towards a common objective or a common action.

Advocacy alliances can be long- or short-term. In the short term groups may come together to lobby on a particular issue for a specific time only, then go back to working separately when that time is complete. The 2005 Make Poverty History campaign in the UK is one example of this. In longer term coalitions, groups come together initially to lobby together, and continue to gain strength and voice and results over a number of years. The Jubilee Debt campaign is an example of this.

There are many good reasons why striking good partnerships is an effective way to mount advocacy campaigns.

Through bringing together organisations or individuals with different expertise or experience, advocacy alliances are able to carry out a more wide-ranging set of advocacy actions. They allow a variety of interventions, including public mobilisation, lobbying, education and information provision, where one organisation acting alone might not be able to deliver such a combination.

Alliances also allow advocacy actions to take place at various levels, as different partners exploit their access and influence with different levels of decision-making, from information relationships with community leaders, through to formal channels for lobbying government departments.

Another key benefit of alliance work is that it offers opportunities to learn and build capacity within each of the partner organisations. When building alliances, you might consider what each partner can learn from each other.

In practice: *UWASNET in Uganda*

The Uganda Water and Sanitation Network of NGOs (UWASNET) is a well established network of over 150 members comprising non-governmental organisations (NGOs) and community based organisations (CBOs) working in the water and sanitation sector in Uganda. It enjoys both national and international recognition. Founded in February 2000 UWASNET's mission is to contribute to poverty alleviation by increasing access to safe water and improved sanitation through effective co-ordination, stronger collaboration and strategic partnerships and networking.

UWASNET achieves its goal through advocacy and lobbying, maintaining a database of NGOs and CBOs, building the capacity of member organisations and enabling UWASNET members to influence and respond to policies, strategies and implementation mechanisms through networking and information exchange.

Some of UWASNET's other achievements include establishing a sophisticated website; opening an information centre with free internet services for members; setting up working groups on hygiene and sanitation, women and children, technologies, urban water and policy and advocacy; facilitating the participation of members in training and conferences; and signing a memorandum of understanding with the Government of Uganda.

Alliances certainly do bring advantages to advocacy work, but they can be difficult to form and difficult to sustain. They tend to suffer from unrealistic goals or expectations. For any organisation considering progressing an alliance, the associated investment you will need to put in should be considered from the outset.

You should also consider whether entering into an alliance will help to achieve success, or whether some of your potential allies might be more effective as independent actors.

In short, you will need to assess whether by working together you are more likely to succeed, and whether the alliance itself will succeed.

Quick and useful: *Pros and cons of alliances*

Advantages

- Strength and safety in numbers
- Broadens support base
- Increases access to policy makers
- Expands base of information and expertise
- Creates new networking and partnership opportunities
- Shares workload
- Fosters a sense of synergy
- Adds credibility and visibility
- Opens opportunities to create new leaders

Disadvantages

- Politics of identity/culture
- Distracts from other work
- Generates an uneven workload between stronger and weaker members
- Requires compromise
- Causes tensions due to imbalances of power
- Limits individual organisational visibility
- Poses risks to profile/reputation

Creating alliances

Taking a step-by-step approach when forming a new alliance will contribute to its strength and flexibility later on.

The first step in any alliance is to consider who the best partners might be. You will need to think broadly about possible allies. Your analysis, already carried out, of the different stakeholders in your issue will assist you to identify key allies and those organisations who are most likely to be effective partners in achieving your advocacy goals. You will need to carry out some research to explore common interests and to define your expectations for working together.

Quick and useful: *Balanced alliances*

A good alliance must find a balance of skills, in order to be effective. You might research the following issues, when considering which partners to link up with.

- Communications capacity
- Policy research and expertise
- Sectoral representation, to engage different stakeholders
- Regional representation, to promote cross-fertilisation
- Organisational capacity, to support the activities of the alliance
- Collaborative work culture, to adapt to the needs of the alliance
- "Inside"/"outside" advocates

The next step is to consider the ingredients of a successful alliance, and how these will be applied to the alliance you are considering:

- Having a common goal or interest
- Choice of partners
- Creating clear governance structures
- Open communication between partners
- Ability to develop action plans, with long- and short-term outcomes.

Of these, one of the most important is for the members of your alliance to share a common purpose. If the alliance is to be strong and united, such a goal will need to be defined by the alliance jointly, not imposed on it by one stronger member.

It is sometimes possible that allies can pursue complementary goals, rather than a single shared goal. Carrying out joint advocacy work may be a more effective way to help partners achieve their goals, but there would need to be equal priority given to each partner's aims.

In the same way, alliances should be regarded as successful even if they do not clearly achieve the common goal to which the partnership is working. Partners should remember to look inward at the numerous wins that may come, even with the loss of a specific campaign. Success of this kind is incredibly valuable, for building future alliances and for making an immediate impact on those who have engaged in the advocacy work.

In practice: *The Freshwater Action Network*

The Freshwater Action Network (FAN) was established after the Second World Water Forum in March 2000 as an advocacy network for developing world civil society organisations (CSOs) working on freshwater issues. The aim is to ensure that CSOs are strongly represented at international water policy forums, and that their voices are heard during the increasingly political water debates.

FAN has been instrumental in supporting and assisting developing country CSOs in participating in a number of international conferences and forums since its inception.

FAN also seeks to improve global cooperation between CSOs, and to increase the number of NGO advocates able to communicate clearly on water policy issues and the broader agenda. FAN also acts as a forum for dialogue between governments and CSOs on water policies, and shares relevant information on emerging issues.

FAN works to achieve its aims by providing quality and up-to-date information on water policies and civil society actions to members. It also provides advice, guidance and training on advocacy, networking and effective lobbying for members.

Since FAN's inception, members in Central America and in Africa have now created fully functioning independent regional networks, supported by FAN. FAN also facilitates links between different civil society networks working on water in South Asia.

FAN does not have a formal constitution and the structure is non-hierarchical. There is an advisory committee which meets annually to guide the development and annual planning.

There are a number of factors which will influence whether an alliance will be successful.

- **Representative**: does the alliance give equal weight to the voices of all the partners, and their stakeholders, within it? All perspectives should be heard. This is vital for legitimacy and therefore influence
- **Evidence**: between them, allies must have quality evidence to submit if the alliance itself is to be regarded as legitimate and credible. Such evidence must be well presented
- **Persistence**: all alliance members will need to be prepared for the fact that influence requires sustained pressure over a long period of time
- **Influencers**: the partnerships must include those who have the power and influence to get things done in the policy arena
- **Links**: where allies have links with others who can contribute to the advocacy work and advance its agenda, the alliance is likely to be strengthened. These can complement other strategies
- **Networking**: partners need to be able to communicate easily, so information technology links are vital, as well as face-to-face opportunities
- **Communication**: tensions and conflict may arise amongst allies, these must be discussed openly, and time must be taken for conflict resolution and problem solving
- **Equality**: attention must be given to allies both giving to and gaining from the relationship

Advocacy toolkit: *Questions of good governance in alliances*

Alliance success depends on whether partners can trust and rely on each other. For that, basic structures and accountability processes are important. While trust can come with time and working together on particular issues, it also depends on a clear governance structure to help an alliance function and manage differences.

A series of questions about structures and governance, which all alliances should consider, is included in the Annexe.

See Advocacy toolkit: Questions of good governance... p101

Planning for action

With your goals, research and allies in place, the next step is to bring all this work together into an action plan.

Action planning should be coupled with a detailed budget, and both might require revision as the programme develops and plans change. As you carry out activities, there will be internal and external changes that affect the outcomes of your work. You should ensure your action plan is flexible enough to take changes as time goes on. Periodic reviews and reflection, built into your planning process, will help you to stop and assess whether you need to adjust your plans accordingly.

Even if things are likely to change, you should still begin with a detailed action plan and budget which offers a starting point and framework from which to make those adjustments.

Remember when planning, advocacy work can be slow and time consuming. You need to plan a long-term commitment and have a realistic view of timescales when doing your advocacy planning work.

Good planning is essential for effective advocacy work, so always consider the following:

- **Goals, objectives and strategies**: these long-term aims are in line with your overall vision. They define in broad terms where you are, where you want to go and how you believe you can get there

- **Advocacy projects or programmes**: these are medium-term planned periods of activity aimed at influencing and changing the policy environment and public opinion around a particular issue. Activities should achieve some of your overall advocacy strategy objectives. (Occasionally they are referred to as advocacy campaigns, but we have chosen to reserve the word ‘campaign’ for public campaigning, which is covered in the next section)

- **Tactics, actions or activities**: these are short-term specific activities within the larger change strategy, designed for a specific moment and opportunity, such as research, lobbying, public mobilisation and media work. Their purpose is to shape a project and capture the attention of people in power, in relation to your issue

- **Monitoring and evaluation**: this involves monitoring progress and evaluating your impact so you can change your strategy and activities as necessary, and learn for the future

- **Participatory planning for citizen-centred advocacy**: participatory approaches to planning community action achieve your advocacy goals by making empowerment and active citizenship a practical reality

Quick and useful: *How your plan might look*

Action plans take various forms, but all should detail exactly what you plan to do, when it needs to happen, and who is responsible.

You might consider drawing up a table, like the following:

Objectives	Targets	Activities	Indicators	Timing	Respons-ibility	Review

- You should organise your plan in terms of its objectives; this will provide an overview of your advocacy project and what you need to deliver
- The indicators column is where you will record your intended outcomes; that will allow you to see when you have achieved successes
- Record in the review column the dates when you will review progress. It is at these dates where you might consider how your plan and budget need to be revised

A worked out example of this plan is included in the Annexe for illustrative purposes.

See Advocacy toolkit: Simple Advocacy Action Plan... p102

In addition to the overview, you will need a more detailed outline of what actions are needed, and when.

You should also take account of certain external dates which your activities might need to tie in with, such as international conferences or consultation dates. Good advocacy is also about getting your message, or your report, or your representative to the right meeting or person at the right time.

Don't forget to schedule monitoring and evaluation activities into this timeline.

Another way to approach detailed planning is to do it by activity, rather than by timeline. This may be particularly useful if different colleagues or teams are responsible for different types of work. You will, of course, still need to build in account of timings and significant dates.

The resulting activity plan might look something like this:

Broad area	Activity	When	Who
Lobbying	Letter to X with report Meeting with Y Leafleting at summit Deliver petition and report	date date date date	name name name (likely to be same person, team or organisation)
Public campaigning	Materials produced Letter writing Petition	date date date (nb ready for delivery – see above)	name name name
Media work	Media list ready Press release sent Report on website Press adverts placed	date date date (nb needs to coincide with letter to X – see above) date	name name name name
Awareness raising	Posters Community meetings Workshops	date date date	name name name

You may need to produce more detailed plans or a series of separate plans. A large event, such as a workshop, conference or press launch will also require a detailed plan of its own (for each of the various activities), alongside the main advocacy plan. You will need to ensure your detailed plans fit into the overview, so that everything is well coordinated.

Advocacy Toolkit: *WaterAid advocacy programme plan*

WaterAid has a standard outline plan for the advocacy programmes it supports.

The outline plan contains questions which your organisation might find useful in your own advocacy planning. It is included in the Annexe.

See Advocacy toolkit: WaterAid advocacy plan... p104

Quick and useful: *Planning checklist*

The Save the Children Fund advocacy handbook suggests the first step after completing an action plan is to carry out a reality check. You need to assess whether your proposed plan is realistic and appropriate.

- Are you ready to implement your plan? Are you clear about your objectives? Do you have your evidence and solutions in place? Do you know your audience? Do you have good contacts among your influentials? Do you know what activities you are going to carry out? Have you decided what advocacy style or approach you are going to use?
- What are you expecting from your partners/allies? Are you sure of their motives and goals? Do they enhance your credibility? What will happen if they drop out?
- What resources – financial, technical, human – are available? What are the implications for your plan? Do you need to build in some training activities to your plan?
- How will you coordinate and monitor the different approaches you are using? Do you have a plan for integrating them and avoiding bottlenecks?
- Are there any risks? How will your activities affect the reputation of your organisation? How might it affect your funding to do other activities? Might you lose valuable staff? Could other current partners no longer wish to work with you? What can you do to mitigate any negative outcomes?
- What would you do if? What are your alternatives, contingency plans or fall-back positions? External conditions may change and you may have to rethink your plans – build in flexibility so you are prepared for this.

Planning for monitoring and evaluation

The final, but essential, step in good advocacy is to develop a separate but related action plan for monitoring and evaluation.

Thinking about evaluation should be fundamental to all the planning stages, carried out alongside your planning, not as an afterthought.

- What do you want the outputs of each activity to be? For example, you have distributed X thousand leaflets, or the issue has received Y amount of media coverage, or X hundred members of the public took action and showed their support

- What outcomes do you intend these outputs to lead to? For example, the government is amending its policy on Z, or the local government has allocated X% of its budget to WSS

- These details will allow you to plan milestones, against which you can review your progress and later evaluate your success and overall impact

This is a very complex area and it is often difficult to evaluate exactly what actions led to particular outcomes, or what the final impact was.

However, if you plan for evaluation before you begin, you will have a far better chance of reaching a meaningful assessment than if you wait until the project is underway or even over.

Section 7 of this *Advocacy Sourcebook* is exclusively about monitoring and evaluation in advocacy work.

Section 6 Advocacy actions

There is a variety of effective actions that your advocacy programme action plan will need to include. Employing different actions, at different levels, appropriate to the audience and decision-making level, is likely to be much more effective than using only one or two different advocacy methods in one way.

This section offers you an introduction to some different advocacy tools that you can adapt to your own issue, and include appropriately in your own action plan.

What you will learn from this chapter

- How best to prepare for the different phases of lobbying meetings
- Some tools for getting your message out into the public arena, and how to direct your messages at particular audiences
- The power of the media, with practical tools you can use for getting your message covered
- Tips for publishing your own messages and research in reports, on websites etc

Lobbying

Key idea: *Lobbying*

"Organisations like WaterAid are extremely important to Parliament. I obviously cannot be up-to-speed with every possible issue facing the UK and the wider world; organisations like WaterAid keep me up-to-date with these issues. They provide me with valuable information and briefings."

Caroline Spelman MP, UK Shadow Secretary of State for the Environment, 2003.[30]

30 quoted in WaterAid's *Lobby pack* 2004

Lobbying is usually defined as attempting to directly persuade decision-makers and influentials.

It can be both formal, through letter writing and scheduled meetings, or more informally at chance meetings, through leaflets or invitations to events etc. The cornerstone of lobbying is shaping the agenda of the meeting around a 'deliverable' for the decision-maker.

Not all lobbying expects to reach a conclusion or success immediately. Often, lobbying can be based around negotiation first, with longer term aims.

Preparing for a lobbying meeting

Preparing well for lobbying meetings is critical as it will help you to be clear about what you want to achieve, how to go about it during the meeting, and how best to follow up what was discussed and negotiated.

The key issue is clearly identifying what the decision-maker can deliver and how this fits into your overall advocacy strategy/advocacy agenda!

With this in mind you should ensure that in your preparation for the lobbying meeting you:

- Research your lobbying targets, and get to know them. Use your analysis of your target's values, knowledge and experience to inform your tactics

- Clarify your goal: what outcome do you want? Will it solve the problem? Is it realistic? Have clear and concrete policy 'asks', informed by your analysis, evidence and proposed solutions
- Identify your policy 'wins', informed by information and intelligence about what is feasible, what will be opposed and what differences in positions are
- Contact like-minded organisations for potential collaboration and support. Alliances, particularly with influential groups or individuals, can strengthen a negotiating position
- Have persuasive case studies, statistics, facts and figures to hand. Information can be a powerful negotiating tool
- Make sure you and other spokespersons are well briefed on the issues lobby target – this will increase your confidence and your credibility
- Meet with the other NGOs beforehand if you are going to meetings with decision-makers or influentials as part of an NGO delegation. This will enable you to discuss the points you want to raise at the meeting, and allow you to cover the issues you want discussed at the meeting itself. Decide who will make the points from among your group; allocate roles including lead spokesperson and note taker. Agree points amongst lobbyists, what responses to questions or styles are to be used
- Prepare a brief (one page) of lobby points, which can be left with the lobby target and serve as an aide memoir. Anticipate the counter arguments which the decision-maker may make and have your answers prepared

In practice: *Reforming public utilities to meet the water and sanitation MDGs*

In 2006 WaterAid and the World Development Movement (WDM) organised a seminar on reforming successful public utilities, for DFID staff in London. This seminar was to share information on and experiences of the potential of such utilities to meet the water and sanitation MDG, as well as continuing challenges. The lobby seminar aimed to discuss the role of donors in giving their financial and political support to reform processes to turn around public utilities, including via public-public partnerships, so as to meet the WSS MDG. Southern public water management representatives from Uganda, Tamil Nadu (India) and Brazil made presentations and were able to participate in frank discussions with DFID.

The core of the discussions was about accountability – how an entity such as a public utility becomes accountable to government for delivering on that government's social goals, such as the MDG targets. But it is also about accountability to the constituents – both those who are already being served by the utility, and those who are currently un-served or under-served by the utility – more often than not, those who are poor and disempowered.

Utility reform doesn't happen in a vacuum. The over-riding concern amongst people, especially the poor and those who advocate the needs and rights of the poor, is how to make governments deliver on their commitments to achieve not just the MDGs, but ultimately universal sustainable access. Thus, as agents of government, reform of public utilities – to make them perform better and achieve social goals – is ultimately about how to make them accountable.

It is clear that there is no one-size-fits-all solution to the reform of public utilities, but there are some common themes which can be drawn out of successful examples – efficiency, accountability, transparency and community participation.

See Advocacy toolkit: see an example of the lobby brief developed on p115

During the lobbying meeting

Smaller numbers of people can lead to a more constructive, less defensive atmosphere. Open the meeting by introducing everyone around the table. If you know that the decision-maker is hostile to your position, you might point out areas of common ground or mutual interest, and then proceed. Indicating a willingness to compromise at the outset can be an effective way to create a friendly climate. This can help in identifying the true reasons for opposition to change.

Present the most important points first, but then give the decision-maker time to talk and listen fully to what they have to say. While it is important to have minimum and maximum positions, it is not effective to put them out on the table initially. If a negotiator reveals the least they are willing to settle for, your lobby target will not be motivated to negotiate beyond that minimum. In terms of style, engagement is usually more effective than condemnation. It may sometimes be appropriate to be tough, it is seldom appropriate to be confrontational, especially if you intend to follow up the lobby meetings with further ones.

Be clear on what you want the decision-maker to do (but be flexible) and gain firm commitment from them. If power holders or decision-makers have previously decided that they will not be influenced to change their position, this may paralyse the process. You will need to understand each other's position, and provide more evidence to strengthen your position.

Use consistent body language: keep your voice calm and regular, relax your shoulders, be conscious of what your demeanour and tone are indicating.

Try not to let the discussion get off track; if it does, interrupt politely and bring the discussion back to the central issue. During the lobby meeting you need to very clearly identify and discuss the 'policy ask' that the decision-maker is capable of delivering. This is the most important point.

If a question comes up that you cannot answer, say you will get back to them, and always follow up such a promise.

At the end of the meeting, thank the decision-maker for their time and re-state what you understand they have said they will do.

Quick and useful: *Simulating negotiation skills*

Try this simple simulation exercise, to develop the negotiation skills of those involved in your advocacy work. As well as a useful way of practising negotiation skills, this exercise can also be used by an advocacy team to develop a real negotiating position on a particular issue.

Step 1: Divide participants into conflicting interest groups, such as community members, local private company representatives, local government, international donors, and international water supply companies. Give them a draft policy statement to analyse, for example on the privatisation of WSS.

Step 2: In their interest groups, participants discuss the statement, debate their position and draw up a negotiating strategy, including their minimum and maximum positions.

Step 3: The participants come back together and re-divide into groups made up of one representative of each viewpoint, and negotiate a final policy statement.

Step 4: Participants come back together again and discuss the following:

- What was the process involved in deciding a minimum and maximum position?
- What happened in the negotiating groups?
- Which interest group gained the most and why?

After the lobbying meeting

Follow up the meeting with a thank you letter to your lobby target, which also includes a summary of the points that were raised, refers to any agreements or disagreements that arose during the meeting, and outlines what the next steps are.

Follow up on any action points that were agreed at the meeting, and share the information and details of what was discussed during the lobbying meeting with others/colleagues.

Follow through if your proposal is accepted. Suggest a drafting committee is established with a representative from your organisation; offer your organisation's services to assist the officer responsible for implementing change; if your formal offers are rejected, keep informal contact; follow through all procedural levels until policy change becomes a reality at all levels.

Don't forget to thank everyone involved and state how you intend to go forward.

Project visits

You may find that arranging a visit to an effective project is a good way for lobbying to take place. Seeing a positive example of the proposition you are lobbying for can convince sceptical decision-makers, as well as giving the opportunity for community members themselves to speak on their own behalf.

The downside is that project visits can be expensive, require lots of planning and time commitment on behalf of participants – particularly the decision-makers, which they may not wish to commit.

In practice: *Using visits in Bangladesh*

The Village Education Resource Centre (VERC) in Bangladesh had been piloting the Community Led Total Sanitation (CLTS) approach in six districts between March 2001 and February 2002. VERC reported that the core concept of community participation and demand-responsive strategy had mobilised communities to stop open defecation in their villages. The pilot was extremely successful and established that any community can achieve 100% sanitation, without external subsidies.

During February 2002, VERC, WaterAid in Bangladesh and other agencies, organised a four-day regional workshop in Bogra with a view to sharing the pilot findings. It included a field trip to VERC's working areas, where the CLTS approach has been successfully piloted. Approximately 75 participants, including a number of central and state government officials from both Bangladesh and India, and NGO representatives, attended the programme.

Later a 36-member team from the Indian state of Maharashtra visited, accompanied by the Joint Secretary of the Ministry of Local Government, Rural Development and Cooperatives, in the Government of Bangladesh. With the support and assistance of the Water and Sanitation Programme, the CLTS approach has now been piloted in Maharashtra.

Writing letters

Writing a letter can be another direct and formal lobbying tool as part of your advocacy. Remember, though, that public figures receive many letters, so you will want to ensure writing is the most effective and appropriate way to get your message across.

Quick and useful: *Tips for letter writing*

- Be brief, no more than one or two pages, although documents or other materials can be attached
- Your tone should be firm but courteous, and you should feel comfortable with the letter being made public
- After a brief introductory paragraph, state clearly the purpose of the communication; try to mention something on which you agree with the recipient of the letter (establishing common ground)
- Correct your spelling and punctuation
- Make sure all signers receive a copy, send copies to other influential actors, remembering to keep a copy – as well as copies of any responses – for yourself

Public campaigning

Key idea: *Public campaigning*

Public campaigning is the process of engaging the public, and getting them to take some action to demonstrate their support for your advocacy project or advocacy position.

The main objective of public campaigning is to demonstrate to your advocacy targets that there is significant public concern about the issue and wide support for your position. That can be particularly effective because, very often, the public are voters and are always consumers. As individuals they may not have much influence, but united behind a particular position they can exert considerable pressure.

An important objective is to directly influence the public's understanding of, and attitude towards, a particular issue; and to change their behaviour.

A side benefit of public campaigning is that it can offer an excellent opportunity for capacity building. Linking up with partners to launch public campaigns means both can learn from each other.

Your public campaign may be nationally focused, calling for a policy change in a particular country, or at an international level. You may even be calling for a range of changes in different countries.

Whatever your public campaigning work, it is vital that your positions and statements are backed up by evidence, particularly your own project work.

Key idea: *Appropriate public campaigning*

It is vital to remember that different countries have different laws and cultural norms that will influence how you carry out campaigning work. In your advocacy action plans, you should already have considered what is appropriate, and even legal, in the context in which your advocacy work will take place.

For example, in the UK, registered charities – such as WaterAid – have to adhere to guidelines on campaigning and political activities laid down by The Charity Commission. The rules ensure the charity operates within the law, and within its own remit.

In particular, registered charities have to be careful that their campaigning work doesn't favour, or even appear to favour, a particular political party. Indeed, political campaigning – calling for a change in a particular law – may not be the sole aim of a registered charity. In UK charity law, political campaigning must remain 'incidental or ancillary' to the charity's main purpose.

The UK Charity Commission advises that, wherever possible, the aim should be to get support for the campaign from a range of political parties – to avoid accusations of partisanship and to increase the chance of the campaign succeeding.

All relevant WaterAid programme and policy staff, and those in contact with the media, are expected to be familiar with WaterAid's Protocol 2: Legal requirements on campaigning and political activities. A summary of this protocol is included in the Annexe for reference.

See Advocacy toolkit: WaterAid protocol on public campaigning... p107

Some of the key ways to implement public campaigning are:

Direct media: Distinct from media and publicity work (covered below), direct media involves creating advertising campaigns, putting leaflets in magazines, or directly sending them out to a mailing list, or putting leaflets or posters in places where they will most effectively reach your audience.

This kind of direct media work is not easy to get right, nor is it particularly cheap. Creating posters, for example, may be cheap but they are difficult to target accurately.

Advertising, if you can afford it, can be particularly effective. An eye catching advert, with clear messaging about your issue, gives you control of what you want to say, and you can ask people to do something as a result.

You may wish to seek outside expertise if you wish to get direct media right.

Manifesto: A manifesto is likely to be the cornerstone of any public campaigning. A manifesto is a short outline of your campaign messages, available to the public, which uses clear and simple common language to explain your position. It should state why you are campaigning, the problem you are addressing, and the solutions you are proposing. You can then use your manifesto in leaflets, in publicity campaigns and on your website, as a clear statement of your campaign asks.

Quick and useful: *Getting visual*

Whether producing leaflets, a manifesto, a website or even TV and magazine adverts, you will need to give your audience an easy way to recognise your campaign. Linking up all the different strands of your visual materials is best done through developing a consistent visual identity.

You need to develop a logo or series of images and phrases that all of your campaign materials should feature, and you should use the same colours and fonts.

Before designing any materials, give real consideration to what you actually want that material to do, who you want it to reach, and what you are asking of your audience.

The public taking action: What actions do you want your campaign supporters to take? Your public campaigning may aim to 'recruit' people to your cause, and take action on it. Or it may be more directed to influencing the way the public and politicians behave.

Either way, your public campaign should seek to motivate a large group of people to act in a certain way, in favour of your proposals. It may start small, but even a small group of people can help to slowly encourage more to come 'on board'.

Mass writing: A popular campaigning tool in Western Europe and the USA is asking people to send letters, postcards or emails to a particular target, raising specific concerns and requesting specific results. You will need to provide people with the necessary tools, such as sample letters, ready printed postcards or an email template.

Petitions: Collecting a large number of signatures, with names and addresses, on paper or through a website, can be an effective way to demonstrate mass support for your position. Consider how you will deliver the petition to achieve maximum impact, and don't forget to secure media coverage. Ensure too that you adhere to local data protection laws.

Events: Campaign events, such as speaker rallies, a march or a vigil, or even arranging a delegation to your target's offices, can attract media coverage. However, large scale events do take a lot of work, and can be very expensive. You might consider if there are any other events you can 'piggy back' onto, having an information stall or leafleting campaign.

Using the media

The media can play a significant part in public advocacy work. Television, radio and press offer the opportunity to both reach decision-makers, and to influence wider public opinion.

The mainstream media is targeted at the general public, but can also have considerable influence over decision-makers and other opinion-makers who respond directly to articles in certain prestigious newspapers or certain programmes on the television and radio, particularly if they are aware of that media's influence over public opinion.

Your advocacy work should, therefore, treat the media as both a tool for advocacy, but also an influential target of your advocacy.

Key idea: *Why use the media?*

- Get your issue onto the political public agenda
- Make your issue visible and credible in policy debate
- Inform the public about your issue and proposed solutions
- Recruit allies among the public and decision-makers
- Change public attitudes and behaviour
- Influence decision-makers and opinion leaders
- Raise money for your cause

Like all aspects of advocacy, media work requires clear goals and carefully planned actions. Before you begin any media campaign, you should properly plan what you want your media advocacy to achieve, and how you will go about it.

Key questions to ask include:

- What message do you want to convey?
- Who do you want to reach with the message?
- How will you reach this audience?
- How will you utilise each type of media?
- How will you time your media effort to complement your other strategies?
- How will you measure success?

It is important to assess your advocacy targets, and what forms of media they have access to.

Many rural communities now have access to radio, and some read national newspapers on a daily basis. Urban, industrialised populations may be more easily influenced through television, while professional audiences may respond to articles in key publications and periodicals.

You should then research the media itself. Which publications or programmes already cover your issue or similar issues? How do they pick up new stories? How free are they to say what they think (is there censorship)? What is the style and format of the various programmes/publications, and how can you fit in with this? How can you contact them?

Make sure you understand the role of the press in your country: is it outspokenly critical of the government or government-controlled; which audiences do they reach and what's the style and tone of different publications?

Key idea: *TV and radio*

Getting your message or your spokesperson on to TV or radio is one of the most effective ways of getting your message out there. Building relationships with key broadcast journalists, and always offering a spokesperson to be interviewed for current affairs programmes, is vital for achieving this kind of coverage.

TV can be particularly effective, because for many influential decision-makers and opinion leaders, current affairs and news shows are likely to be a core source of information for them. Identify whether TV audiences are the ones you are targeting.

Meanwhile, radio reaches a wider audience than any other medium, and is accessible to people who are otherwise isolated by language, geography, conflict, illiteracy or poverty. Radio also has the power to motivate people by building on oral traditions. Community radio stations can play a significant role in increasing participation and opinion sharing, improving and diversifying knowledge and skills and in catering to health and cultural needs.

However, radio is a transitory medium. Most people cannot listen again to a show, or ask for information to be repeated. Many people also lack access to radios, electricity or the batteries to power them.

Reaching the media

Quick and useful: *Your media contacts list*

Building a contacts list enables you to rapidly pass your messages on to all relevant media when you have a news story. If you use your contacts list like a database, recording any contact you have with a journalist, it will assist you in building and maintaining relationships with them.

In many countries you can buy a media list prepared by specialist companies, but if that approach is too costly, you can construct your own by reading, watching and listening to local media, and noting which issues specific journalists cover.

You may wish to make contact with key journalists and editors just to introduce yourself and tell them about your issues. If they have met you, they will be more inclined to come to you when they are working on a story, and they will pay more attention to any information you send. Investing time in building relationships with journalists and editors also enables you to run ideas past them, to see what aspect of your story is most suited to their needs.

Getting into the media requires more than just good relations. You cannot always hope that friendly journalists will find your issue newsworthy, because often it won't be. The key to good story selling is good timing, and linking your own message with the breaking news.

You should look for news opportunities, such as a natural event, a speech or anniversary to which you can link your story. Keep a record of future events in your diary that you could link your issues to. When your story is already in the news, even peripherally, it is easier to sell in your exact messages. Your task is to offer a story or photo opportunity that illustrates a new or local perspective, or which dramatises a particular point of view.

Acting fast is often the key, and so is providing all the information in one place so that the journalists' job is easier. Websites are being used increasingly in this way, providing backup information, images, quotes and more, all in one place.

The most common method for getting your message to any kind of media is a press release. It is a written document that outlines concisely the issue you wish the media to cover, and is distributed by fax, post or increasingly by email to the journalists you are seeking to reach.

A well written press release should make life easy for the journalists, giving them enough information in a short, punchy style to persuade them to run your story.

Press releases can fulfil various functions:

- Give advance notice of an event
- Provide a report of a meeting, or convey decisions
- Announce a new campaign, or provide progress reports
- Provide background information
- Circulate speeches, report details etc

Advocacy toolkit: *Good press releases*

Press releases usually follow a standard format, which enable journalists and editors to access relevant information quickly and easily.

A series of tips and advice on writing your press release is included in the Annexe as a useful tool. A sample press release is also included.

See Advocacy toolkit: Tips on good press releases... p108 and a sample press release... p109

Pushing the message

Publishing documents, producing materials and carrying out public campaigning face to face through speaker meetings and events, are likely to be an important part of any advocacy project.

Quick and useful: *Getting communications right*

Five factors should be considered when a communication is being prepared and approved:
- Policy consistency and consistency with organisational plans and priorities
- Your organisation's identity
- Quality of product and content
- Risk to reputation
- Security risk to staff, partners and beneficiaries or to the whole organisation

Reports

Reports can be used to support lobbying activities by sending information to targets and influentials; they also provide background for journalists and partners, and perhaps even the public.

The way in which you present the results of any research is as important as its quality. In all cases, thought needs to be given to the audience, and the way the report is presented should be tailored accordingly. Remember to put in place strategies for disseminating your report.

Most reports contain an executive summary, which is often the only part of a report that is actually read. A report aimed at an advocacy target should also contain a brief list of the three or four key points or actions you would like them to take.

Advocacy toolkit: *Writing worth reading*

Read more about the a, b, c of writing good copy – from how to get started to top tips for developing your reports.

See Advocacy toolkit: Tips on how to write copy worth reading... p110

Conferences, seminars and workshops

A public event can be used to influence the targets you invite, and you can even invite them to speak. Such events also offer opportunities for media coverage, and to raise awareness among journalists, partners and the general public.

Many NGOs use community-based workshops for citizen training and education as part of their legal rights and policy advocacy efforts.

Conferences with high level speakers or compelling topics can also draw mass media attention. In many countries, a gathering of international visitors may attract media coverage.

Advocacy toolkit: *Public speaking*

All public events will entail someone, perhaps a member of your own team, having to speak articulately and convincingly on your issue to a large group of people.

Thorough preparation, so you know your subject and your audience, is the foundation of a successful talk. If you are well prepared, you will also be more confident.

A series of tips for preparing and structuring a public talk is included in the Annexe.

See Advocacy toolkit: Tips on public speaking... p114

Leaflets, news sheets and posters [31]

31 Partly based on IPPF (1995) *Advocacy Guide*. UK.

Printed matter can be used as part of your public campaigning to raise public awareness among large numbers of people. They should be tailored, with particular messages and approaches, depending on who your intended target audience is. You should be clear who your target audience is and how you are going to distribute the leaflet or news sheet before you start designing and producing it.

Once you have decided that a leaflet or poster is an appropriate tool for your campaign, it should be designed to have maximum impact on your audience. Your headings should be eye-catching while avoiding being sensational. The content should include a simple presentation of the facts relating to your advocacy issue, and a clear statement of what you want your audience to do about it.

How you distribute the leaflets or where you place the posters will depend on your target audience and the resources you have available. If you have very limited resources, you may decide to target the distribution very specifically to key audiences.

Websites

A campaign webpage, or even micro-site, provides users with an accessible, user-friendly and authoritative information resource. It can also be a place for the exchange and communication of ideas and views. It particularly offers opportunity to engage the public through online petitions or message boards.

Your website should contain the background information for your advocacy project, as well as supporting materials such as press releases, reports, stories, images and quotes. Anyone visiting your site should be able to find everything they need and, if possible, to be able to download files. Where appropriate, this will allow you to produce more concise paper materials because you can refer people to the full detail available online.

However, many millions of people in the developing world still cannot easily access websites and many people are still not used to using the internet. Poor design, including information overload, can also prevent people from finding what they need on websites.

Video and drama/street theatre

Street theatre or similar public events can help to raise awareness among communities, and engage the wider public. Vitally, it also offers the opportunities for stakeholders to tell their own stories and become involved in advocacy work.

Drama provides an opportunity to present facts and issues in an entertaining, culturally sensitive and accessible way. In many societies, drama is a form of communication through which people can comfortably express their views. However, the number of people reached is limited compared to other means, and some critics suggest that it can trivialise serious issues.

Video is a relatively expensive advocacy tool. However it has the potential for impact among both audiences with low literacy (assuming the facilities for broadcasting are available) and developed country audiences increasingly attuned to audio-visual presentations rather than the written word.

Key idea: *Participatory development communication: an African perspective* [32]

In the African communication environment, given the limited access that some population groups, especially the marginalised segments living in remote rural communities, have to mass communication media, the communicating capacity of the local community resides in so-called traditional media resources and channels (traditional leaders, drama, concerts, songs, story-telling, puppetry, drumming, dancing, etc). They serve as reliable channels of news and information gathering, processing and dissemination in many rural communities, and often address local interests and concerns in local languages and cultural contexts which the community members can easily understand and with which they can identify.

Effective applications of participatory development communication approaches and strategies at the grassroots and community level should explore the use and harnessing of pervasive traditional communication instruments and resources. Traditional media often serve as effective means of channelling development issues.

Traditional media provide horizontal communication approaches to stimulating discussion and analysis of issues, as well as sensitising and mobilising communities for development. However, one must be cautious about romanticising the abilities and impact of traditional media in development. Like other communication and information means, they have their weaknesses and limitations in time and space; they are particularly deficient in simultaneous dissemination of information about development issues across wide and geographically disperse populations.

Research and experience in the use of traditional media indicate that they are most effective in participatory communication of development in rural communities when combined with mass communication resources, especially radio. The challenge facing practitioners of participatory development communication in African countries is to be sufficiently knowledgeable of both the potentials and limitations of traditional media and about how to skillfully harness and combine them with other communication and information forms for development.

32 S. T. Kwame Boafo (no date) quoted on the International Development Research Centre website www.idrc.org

Section 7 Monitoring and evaluation

Monitoring and evaluating the impact of advocacy can be a difficult task. Many fail to do it, despite building it into their advocacy plans. Nevertheless, monitoring and evaluating advocacy programmes is an important and unavoidable part of advocacy work.

Monitoring and evaluation must be central to your advocacy action plan right from the beginning, something that takes place alongside research, planning and execution of your plans, and which influences how you work at every stage.

By building it into advocacy planning from the start, you can connect the goals you want to achieve with the development of indicators for success.

Ongoing monitoring acts as a way of measuring the progress you have made at every stage. Carrying our periodic evaluation allows you to identify any impacts that your advocacy work is having at the same time as the planning and doing takes place. Evaluation is not just about analysing the end result, for example, the completion of a piece of work, but an appraisal of longer term impact.

Monitoring and evaluation relies on collecting and analysing information about the positive and negative aspects, and impacts, of your work and its progress.

What you will learn from this chapter

- What monitoring and evaluation are and why they are important
- The difference between monitoring and evaluation
- The aspects of work that can be monitored and evaluated
- Some of the challenges of monitoring and evaluating advocacy work
- Questions you can use to review progress in your advocacy

A test of quality advocacy planning is the ease by which your plans can be monitored, and how your impacts can be evaluated. (Refer to the advocacy planning cycle on p30)

Plans with clear objectives, indicators, targets and a stakeholder analysis make monitoring very simple; whereas if your objectives are vague and unspecific, it is almost impossible to monitor or evaluate your progress.

Monitoring

Monitoring is "the systematic and continuous assessment of the progress of a piece of work over time, which checks that things are 'going to plan' and enables adjustments to be made in a methodical way". [33]

33 Bakewell, O., Adams, J. & Pratt, B. (2003) *Sharpening the Development Process. A Practical Guide to Monitoring and Evaluation.* Intrac Praxis Guide No. 1

Your monitoring should examine how well your plans are working in practice. The core aim of monitoring is to decide if your plans and practice need to be adjusted in light of new information, or things not going in the direction expected, or to account for unexpected factors. Effective monitoring will show warning signs if something is failing. It will also help to guide your actions, to ensure they are as effective as possible.

While your advocacy goal may be consistent, you need to be prepared to revise your activities in light of what monitoring reveals as your advocacy work develops, and your targets respond.

Evaluation

Evaluation is "the periodic assessment of the relevance, performance, efficiency and impact of a piece of work with respect to its stated objectives. An evaluation is usually carried out at some significant stage in the project's development, eg at the end of a planning period, as the project moves to a new phase, or in response to a particular critical issue". [34]

34 op cit.

Evaluation measures whether the objectives of an activity have been achieved, how they were achieved, and what can be learnt from this success or failure.

What is the difference between monitoring and evaluation? [35]

35 op cit

Monitoring is an integral part of the management system and will generally be carried out by those involved in the project from day to day. At the least this will involve the project staff, but it is even better if the project users also participate in monitoring.

An evaluation will measure what progress the project has made, not only in completing its activities but also in achieving its objectives and overall goal. It will assess what changes have occurred as a result of the project taking place – both those changes which were planned and also those which were unexpected.

Both monitoring and evaluation are concerned with answering questions about outputs, objectives and impacts. Experience has shown that it is very difficult to assess progress in achieving objectives in periodic evaluations if information has not been collected throughout the project's operation. It is even harder to understand the project's impact unless changes have been regularly monitored.

The monitoring and evaluation system is expected to provide evidence that the project has caused a set of immediate effects and long-term changes. The system must be able to show that this evidence is both credible and valid.

Table summarising the differences between monitoring and evaluation: [36]

36 Bakewell, O. et al, op cit

	Monitoring	Evaluation
Timing	Continuous throughout the project	Periodic review at significant point in project progress – end of project, mid point of project, change of phase
Scope	Day to day activities, outputs, indicators of progress and change	Assess overall delivery of outputs and progress towards objectives and goal
Main participants	Project staff, project users	External evaluators/facilitators, project users, project staff, donors
Process	Regular meetings, interviews – monthly, quarterly reviews etc	Extraordinary meetings, additional data collection exercises etc.
Written outputs	Regular reports and updates to project users, management and donors	Written report with recommendations for changes to project – presented in workshops to different stakeholders

Quick and useful: *Impact assessment*

Impact assessment is the systematic analysis of the lasting or significant changes – positive or negative, intended or not – in peoples' lives, brought about by a given action or series of actions. (Roche (1999) Oxfam)

What aspects of advocacy work can be monitored and evaluated?

Basic levels of activity should be monitored regularly using simple, straightforward and manageable documentation (see a few examples of inputs and outputs that you could monitor, in the box below). Monitoring works best when the information generated by the process is both useful and used, and that demands it is recorded properly and presented in an understandable way.

You should also build in specific review points into your planning; places where you can stop and take stock of progress, examine indicators and future actions, and consider if you need to revise your plan, shift focus or re-direct resources where necessary.

Advocacy plans inevitably require strategic choices and shifts, which your monitoring should highlight. Should you continue working with a particular partner? Should you work at a slower pace in order to achieve your goals? Should you work alone and faster, to achieve your goals?

Quick and useful: *Inputs and outputs*

The following are just a **few examples** of data you can store for monitoring:

Inputs: outline the resources you have dedicated and the actions you have taken: the number of emails sent, the plans you have drawn up, terms of reference of research, the number of leaflets produced (time plans, staff time spent, finances), advocacy plans, lobby plans, training sessions, meetings organised, etc

Outputs: record the immediate results of the actions: responses to emails, information sought from you about your campaign, reports produced and/or published, minutes of meetings, reports of visits made, organisational membership of network, number of mentions of your campaign in Parliament, press coverage, etc

Effective monitoring helps guide your actions to ensure that they are as effective as possible. It also provides the information needed for accountability (including reporting to your donors and to your own organisation), assessing and improving your performance, increasing and documenting your learning and improving your communications.

Where possible you should measure quantitative (numbers) as well as qualitative (narrative) indicators. Much advocacy work results in things that cannot be recorded statistically: the quality and tone of speeches made by public figures, the networks established, drafts of new agreements and policies. In these cases, you will need to describe the activity, and your analysis, in a narrative way. Recording such data in numbers can restrict understanding of it.

The linkages between activities, outputs, outcomes and goals are not straightforward or even easy to predict. Each step depends to some extent on the response of those who have been the target of the advocacy activity.

We must anticipate indifference, resistance and opposition and thus our progress will depend on the actions of people outside the project. While our advocacy goal may be constant, our activities may need to be revised in the light of those targeted by our advocacy as well as other developments, and our monitoring should assist this.

What are the challenges of monitoring and evaluating advocacy work?

A great deal of NGO monitoring and evaluation – not just of advocacy work – tends to focus on inputs and outputs, with less attention given to the more challenging but ultimately more important outcomes and impact.

Evaluation is the assessment of the impacts from advocacy and is full of methodological challenge. Some of the particular difficulties associated with assessing the impact of advocacy work – in contrast to that of practical project work – are listed below:

- Advocacy is often a long-term activity and policy change may be incremental and slow and implementation may lag significantly behind legislative change. It is therefore often hard to say when a significant change has occurred
- The process of change is often unpredictable
- Multiple objectives – advocacy objectives may sometimes be process orientated and include policy changes, programme changes, networking, opening up democratic space for citizens and increased accountability from service providers
- Hidden decision-making processes may be used by bureaucracies and politicians
- Cause and effects are usually difficult if not impossible to clearly demonstrate, as you will be working to influence using a number of advocacy tools, and it may not be clear which activity made the difference to the direction taken by the decision-maker
- Advocacy work is often carried out through networks and coalitions and whilst this is likely to increase the visibility and power of advocacy work, it also makes it more difficult to attribute the results to the work of a particular organisation or assess the exact contribution of each organisation or group
- A variety of approaches is commonly used at the same time, some more confrontational, others based around private debate. This combination may be effective but renders the evaluation of the contribution of each approach difficult
- Much advocacy work is unique with little repetition

How can you review progress in advocacy?

For all of the challenges associated with evaluating advocacy, the outcomes and the impact of advocacy work need to be recorded. Where possible we need to measure quantitative as well as qualitative indicators.

Inevitably, the indicators to measure progress towards advocacy objectives will mainly be qualitative. They may often have to be proxy indicators, as results of advocacy are often intangible (especially the intermediate results before policy change is achieved). This makes the monitoring and evaluation of advocacy more difficult, but the principles remain the same.

In practice, it will be necessary to monitor advocacy in a wide range of ways, including, for example: monitoring your target, your relationships, the media, your reputation and public opinion. However, it is vital the monitoring and evaluating system does not get too complex - keep it simple.

Given the contested outcomes of advocacy, it will be useful if data collected for monitoring and evaluation can sometimes be triangulated – using different sources of information; using different methods of data collection; and, using different people to collect data.

Advocacy activities also need to be periodically examined in the light of your organisation's aims, in order to prevent advocacy work losing its sense of direction or absorbing resources without being able to justify or account for their use.

Sharma's Advocacy Training Guide [37] includes a self-assessment questionnaire, which is a good place for those planning and carrying out advocacy work, to start to review their progress.

You may wish to answer the questions as a group, or as individuals, and then bring your results together for analysis.

37 Sharma, R. R., no date. *An Introduction to Advocacy: Training Guide.* Support for Analysis and Research in Africa (SARA) and Health and Human Resources Analysis for Africa (HHRRA), USAID Office of Sustainable Development, USA.

Advocacy objective

- Is your advocacy objective moving smoothly or have you encountered obstacles? What are the obstacles and how can they be overcome?
- What else can you do to move your objective forward? Would building new alliances or increasing your media outreach help move your objective through the decision-making process?
- If your objective does not seem achievable, should you alter it? What would be achievable?
- Could you achieve part of your objectives by negotiating or compromising?
- How much does the policy/programme change reflect your objective? Did you win your objective entirely, partly or not at all?
- Can/should you try to achieve the rest of your objective during the next decision-making cycle?
- Or should you move on to an entirely new advocacy objective? What are the pros and cons for each decision?
- Did the policy/programme change make a difference to the problem you were addressing? If you achieved your objective in whole or in part, has it had the impact you intended?

Message delivery/communications

- Did your message reach the key audiences? If not, how can you better reach those audiences?
- Did your audiences respond positively to your message? Which messages worked? Why? Which did not work and why? How can you alter the messages which were not effective?
- Which formats for delivery worked well? Which were not effective and why? How can these formats be changed or improved?
- Did you receive any media or press coverage? Was it helpful to your effort? How could your media relations be improved?

Use of research and data

- How did using data and research enhance your effort?
- Were data presented clearly and persuasively? How could your presentation be improved?
- Did your advocacy effort raise new research questions? Are more data needed to support your advocacy objective? If so, are the data available elsewhere or do you need to conduct the research?

Decision-making process

- How is the decision-making process more open because of your efforts?
- Will it be easier to reach and persuade the decision-makers next time? Why, or why not?
- How many more people/organisations are involved in the decision-making process than before you began? How has this helped or hindered your efforts?
- How could you improve the way you move the decision-making process forward?
- What alternative strategies can you pursue to help take the discussion forward? Should you target different decision-makers? Should you consider different activities eg joint learning seminars?

Coalition-building

- How was your coalition successful in drawing attention to the issue and building support for the advocacy objective?
- Was information distributed to coalition members in a timely fashion? How could information dissemination be improved?
- Are there any unresolved conflicts in the coalition? How can these be addressed and resolved?
- Is there a high level of cooperation and information exchange among coalition members? How could internal coalition relations be enhanced?
- Did the coalition gain or lose any members? How can you enlist new members and/or prevent members from leaving?
- Does the coalition provide opportunities for leadership development among members?
- How was your network helpful to your advocacy? How can you expand your network?

Overall management/organisational issues

- Is your advocacy effort financially viable? How could you raise additional resources?
- Is the accounting system adequate? Can you provide to funders an accurate accounting of how money was spent?
- How could your financial resources have been used more efficiently?

- Were all events produced successfully and meetings run smoothly? Which were not and why not? How could logistics be improved?
- Are you or your organisation overwhelmed or discouraged? How could you get more assistance?
- Should you narrow your goal or extend your timeframe to make you effort more manageable?

Further information – helpful websites for advocacy work

The following organisations, networks and academic institutions can provide you with further information resources for your advocacy and capacity building work.

African Civil Society Network on Water and Sanitation (ANEW)

Website: www.freshwateraction.net/anew Email: anew@majinaufanisi.org

ANEW was launched in December 2003, during the Africa Ministerial Council on Water's (AMCOW) Pan-African Implementation and Partnership Conference on Water in Addis Ababa. This followed the inception meeting in October 2003 when over 40 representatives of African NGOs and networks working on water issues from all over continent came together in Nairobi for a three-day event organised by the Freshwater Action Network (FAN) and the Environment Liaison Centre International (ELCI). ANEW aims to promote dialogue, learning and cooperation on water issues in the region.

CIVICUS

www.civicus.org

CIVICUS (the World Alliance for Citizen Participation) is an international alliance dedicated to strengthening citizen action and civil society throughout the world. CIVICUS seeks to amplify the voices and opinions of ordinary people and it gives expression to the enormous creative energy of the burgeoning sector of civil society. CIVICUS' mission is of a worldwide community of informed, inspired, committed citizens engaged in confronting the challenges facing humanity. CIVICUS believes that the health of societies exists in direct proportion to the degree of balance between the state, the private sector and civil society. CIVICUS resources and services include links to other civil society groups and a number of civil society toolkits. You can sign up to e–CIVICUS online – a free weekly newsletter promoting civic existence, expression and engagement.

Dew Point Resource Centre

www.dewpoint.org.uk

The DEW Point Resource Centre has been established to generate and disseminate knowledge on behalf of the UK Department for International Development and its development partners, in the areas of Climate Change, Environment, Water and Sanitation, and Water Resources Management.

DRC Citizenship, Participation and Accountability

www.drc-citizenship.org

The Development Research Centre for Citizenship, Participation and Accountability (Citizenship DRC) is an international network of researchers and activists exploring new forms of citizenship that will help make rights real. The aim of the Citizenship DRC is to increase understanding of how to support the efforts of poor and marginalised groups to define and claim their rights. The network focuses attention on the relationships between poor and marginalised people and the institutions that affect their lives, and how these relationships can be changed. You can subscribe on-line to receive email updates.

End Water Poverty (EWP)

www.endwaterpoverty.org

End Water Poverty is the international campaign that aims to bring an end to the global sanitation and water crisis. The coalition is formed of like-minded organisations from around the world who are demanding urgent action and leadership from donors and governments alike. The End Water Poverty campaign aims to ensure governments provide access to sanitation and water for the world's poorest people through changes in policy and practices according to the key principles of equity; povery reduction; sustainability and accountability. The campaign is calling for one global

action plan for sanitation and water monitored by one global task force; for 70% of aid money for sanitation and water to be targeted at the poorest countries; and, for water resources to be protected and shared equitably. For more details see the Programme for Action on the website.

Freshwater Action Network (FAN)

www.freshwateraction.net

FAN is a freshwater advocacy network set up in 2000 to ensure that Southern civil society organisations working on fresh water issues are strongly represented at international water policy forums and that their voices are heard during the increasingly political water debates. FAN membership is open to all NGOs, community organisations or NGO networks with an interest in freshwater policy and who are committed to the aims of FAN. You can subscribe to their e-newsletter on-line.

Freshwater Action Network Central America (FAN-CA)

Website: visit www.freshwateraction.net and click on the map for Central America (FAN-CA)

The Freshwater Action Network – Central America (FAN-CA) is a regional network of social organisations, created in order to promote the incidence of local and national actors in the elaboration of water policies at all levels. FAN-CA comprises national networks in Costa Rica, Guatemala, Honduras, Nicaragua, Panamá and El Salvador. It promotes the strengthening of capacities of social organisations by means of the exchange of experiences, training, spreading information and disseminating their activities. FAN-CA is a well recognised network that participates in and promotes the development and implementation of community-based sustainable strategies and policies of water management. Email: fancaregional@gmail.com

IDS Information Services

www.ids.ac.uk/ids/info

The IDS Information Department supports a large and diverse international community through its family of Knowledge Services and knowledge sharing and consultancy work. While each service has a distinct approach, audience and focus, they all share one goal: to help development research and knowledge reach those who can use it to reduce poverty and injustice. Through the IDS Information Service you can access a range of knowledge networks that are either broad based development services or specialist services (including gender, health, governance, livelihoods and participation).

Institute for Development Studies IDS (PPSC Team)

www.ids.ac.uk/ids/Part

The Participation, Power and Social Change Team (PPSC) explore concepts and methods of 'participation' and how they can be used to improve the complex interactions between society and policy. Focusing on research, innovation and learning in rights-based and participatory approaches, the team works in partnerships with diverse collaborators from around the world to generate ideas and action for social change. The team emphasises internal learning and reflection, together with respect for voice and diversity and takes a citizen's perspective on development.

International Budget Project

www.internationalbudget.org

The International Budget Project (IBP) was formed in 1997 to nurture the growth of civil society capacity to analyse and influence government budget processes, institutions and outcomes. The overarching aim of the project is to make budget systems more responsive to the needs of society and, accordingly, to make these systems more transparent and accountable to the public. The Project is especially interested in assisting with applied research that is of use in ongoing policy debates and with research on the effects of budget policies on the poor. The IBP works primarily with researchers and NGOs in developing countries or new democracies. Its activities include acting as a hub of information on civil society budget work and building international and regional budget networks.

International Water and Sanitation Centre (IRC)

www.irc.nl

Since its foundation in 1968, the IRC International Water and Sanitation Centre (IRC) has facilitated the sharing, promotion and use of knowledge so that governments, professionals and organisations can better support poor men, women and children in developing countries to obtain water and sanitation services they will use and maintain. The themes of their work include governance, scaling up, gender and communication. They have a bibliographic database on water supply and sanitation in developing countries and a growing number of documents available on the Internet. You can subscribe to their regular e-newsletter *Source Weekly* through the website at www.irc.nl/source

Just Associates

www.justassociates.org

Just Associates (JASS) is a network of justice activists, scholars and popular educators in 13 countries worldwide committed to increasing women's voices, visibility and collective organisational power to advance a more just, equitable and sustainable world. Their publications and materials are the product of lively collective analysis, action research and other kinds of reflection and learning with and among people in the thick of social justice work around the world. They seek to build bridges between theory and practice, researchers and practitioners, to sharpen knowledge and action. Their website has a range of useful resources.

Overseas Development Institute RAPID programme (ODI RAPID)

www.odi.org.uk/rapid

ODI's Research and Policy in Development (RAPID) programme aims to improve the use of research and evidence in development policy and practice through research, advice and debate. RAPID produces a wide range of online and printed information, publications and toolkits as a resource to help researchers, policymakers and practitioners maximise the impact of research based evidence on policy. The tools are grouped under the headings Research Tools, Context Assessment Tools, Communication Tools, and Policy Influence Tools. You can also subscribe to the RAPID newsletter for updates on line.

Streams of Knowledge – STREAMS

www.streams.net

The Streams of Knowledge is a global coalition of water and sanitation Resource Centres. STREAMS seek to build the capacities of various water and sanitation stakeholders through the conduct of training, advocacy and research towards supporting the development of pro-poor policies for the sustainable implementation of water, sanitation, health and hygiene for all. STREAMS promote people-centred approaches and their website resources include information on participatory monitoring and water-related networks and organisations in the Asia-Pacific region.

The Institute for Democracy in South Africa

www.idasa.org.za

Idasa is an independent public interest organisation committed to promoting sustainable democracy based on active citizenship, democratic institutions, and social justice. IDASA is an Institute based in South Africa, but in recent years it has begun to work elsewhere – largely in sub-Saharan Africa. IDASA have a number of programmes including *Community and Citizens' Empowerment* as well as a wide range of useful resources on institutional capacity building for organisational development and advocacy. Subscribe to their newsletter online.

UNDP Human Development Report (HDR) Unit

http://hdr.undp.org

The stated mission of the HDR Unit within the United Nations Development Programme is to design systems and tools to encourage the highest standards of quality of regional and national Human Development Reports and their impact on policy agendas. The 'NHDR Workspace' part of this website provides an overview of key thematic resources on human development as well as

information on relevant research tools, including: journals; working papers; library catalogues; reports; statistical data; news services; internet gateways; and research tools.

WaterAid

www.wateraid.org

WaterAid enables the world's poorest people to gain access to safe water, sanitation and hygiene education. These basic human rights underpin health, education and livelihoods and form the first, essential step in overcoming poverty. WaterAid works with local partners, who understand local issues, and provides them with the skills and support to help communities set up and manage practical and sustainable projects that meet their real needs. WaterAid also undertakes advocacy locally and internationally to change policy and practice and ensure water and sanitation's vital role in reducing poverty is recognised. Sign up online to receive the e-news *Water Matters*.

WELL resource centre at WEDC

www.wedc.ac.uk/well/

WEDC is one of the world's leading education and research institutes for improving access to infrastructure and services for the poor in low- and middle-income countries. They are based in the Department of Civil and Building Engineering at Loughborough University in the UK. WEDC host the WELL resource centre for water, sanitation and environmental health. They provide information in a variety of formats as well as technical support and offers links to other general resources related to the water, sanitation and the environmental health sector.

World Bank: Water and Sanitation Program (WSP)

www.wsp.org

The Water and Sanitation Program (WSP) is a multi-donor partnership programme. WSP works directly with client governments at the local and national level in 27 countries through four regional officers and The World Bank headquarters in Washington DC. Their stated goal is to reduce poverty in developing countries by helping the poor gain sustained access to improved water supply and sanitation services. WSP publish information products, engage in capacity building, and effect the regulatory and structural changes needed in broad WSS reform. Their stated challenge is to replicate successful approaches, continue targeted learning efforts, and support reforms that will ensure the adoption of sustainable investments in the sector.

WSSCC

www.wsscc.org

The Water Supply and Sanitation Collaborative Council seeks to accelerate the achievement of sustainable sanitation, hygiene and water services to all people, with special attention to the unserved poor, by enhancing collaboration and coordination of all sector stakeholders, nationally and internationally. The Council aspires to achieve this mission through advocacy and awareness raising campaigns, and facilitating concerted action programmes focused at improved sanitation and hygiene service delivery, to be carried out through the Council's extensive membership and network of partners and collaborators.

1. WaterAid research planning table – a sample of research questions in 2005

Topic/research question	Sub-topic/ research question	Sources of information	Methods for information collection	Who's responsible/ by when should data be available
A. Quantity of WSS sector financing				
What is the historical trend in WSS financing from national revenues?	How much was allocated by national government to WSS sector in FY 1990/91 – 2002/03?	National budgets over 1990/91 to 2002/03	Literature review	
	What are the different items under WSS that were included in the budget?	National budgets as above Informants from Budget office or Water ministry	Literature review Key informant interviews (have to identify who key informants are) (Either notes or recorded interviews, transcribed) Possible email interview	
	What of the budgets allocated to WSS were actually disbursed (1990/91 – 2002/03)?	Expenditure reports from water ministry, or finance ministry Informants from finance/ budget and/or water offices	Literature review Key informant interviews Possible email interview	
	What is the pattern of national allocations to WSS?	Analysis of data gathered Informants from finance/ budget and/or water offices	Data collection and comparisons, synthesis to facilitate analysis	
What is the current level of total financing for the WSS sector?	Apart from government (national revenues), what other donors finance WSS service provision and sector governance? Check available data 1990/91 – 2002/03	National budget? Ministry budget Donor reports Ministry reports, national budget reports	Literature review Water ministry key informative interviews	
	In what form is donor financing provided? Grants or concessional loans or technical cooperation?	Water ministry budget reports, finance ministry reports, donor reports Other independent reports from academic research Informants from donors/ research	Literature review Key informant interviews with donors	
	What do donors fund?	As above		

Topic/research question	Sub-topic/ research question	Sources of information	Methods for information collection	Who's responsible/ by when should data be available
B. Effectiveness of WSS sector financing				
How do financial allocations to the sector flow from allocations and disbursement and expenditure? (once the budget is allocated, how is that finance disbursed, and how is the expenditure reported on?)	What is the decision-making process and who are the agencies/individuals involved in agreeing allocations, disbursements and actual expenditure on national budget allocations?	Literature reviews Informants from different sections of government: finance, budget/planning, water, local government or utility	Case study on basis of one year's performance	
	What is the decision-making process and who are the agencies/ individuals involved in agreeing allocations, disbursements and actual expenditure on external aid to WSS?	Literature review Informants in donor community and water ministry, local water agency	Case study of one donor's performance on one funded project, perhaps one year in that project Analysis of flow	
	What blockages in the flow of resources exist and at what level?	Data gathered Informants within government and donors academe	Analysis of data gathered as part of case study Interviews	
	What are the different perceptions on how to unblock the bottle-necks?	Informants from donor community, academia, government – finance, planning, water agency, local government	Informants interviews Research or academic reports literature review Possible survey	
What is the pattern of WSS spending allocated to addressing service sustainability?	How do service providers and policy makers define service sustainability in urban and rural WSS services?	Informants Policy papers and strategies of government, donors	Literature review/ analysis Possible survey of informants	
	How much is being spent from national budgets and aid to address service sustainability of rural services? (focused on technical, management sustainability of service)	Budget data Evaluation reports Project reports Research or other academic papers Informants in local government water agencies	Literature review Interviews	
	What needs to change to ensure sustainability is addressed in sector spending?	Informants Evaluation reports Research reports	Interviews Literature review	

2. Some guiding considerations for a research Terms of Reference (TOR):

Terms of Reference require setting out:
- Background Information
- Purpose of Consultancy
- Methodology
- Expected Outputs
- Schedule of Work
- Consultancy Terms

Clarifying premises:

- The TOR should clarify the aims and objectives of the research
- The TOR should be very clear about the precise role of the consultant
- The TOR must be very clear about what you want to know
- The TOR should be clear who the consultant will be reporting to

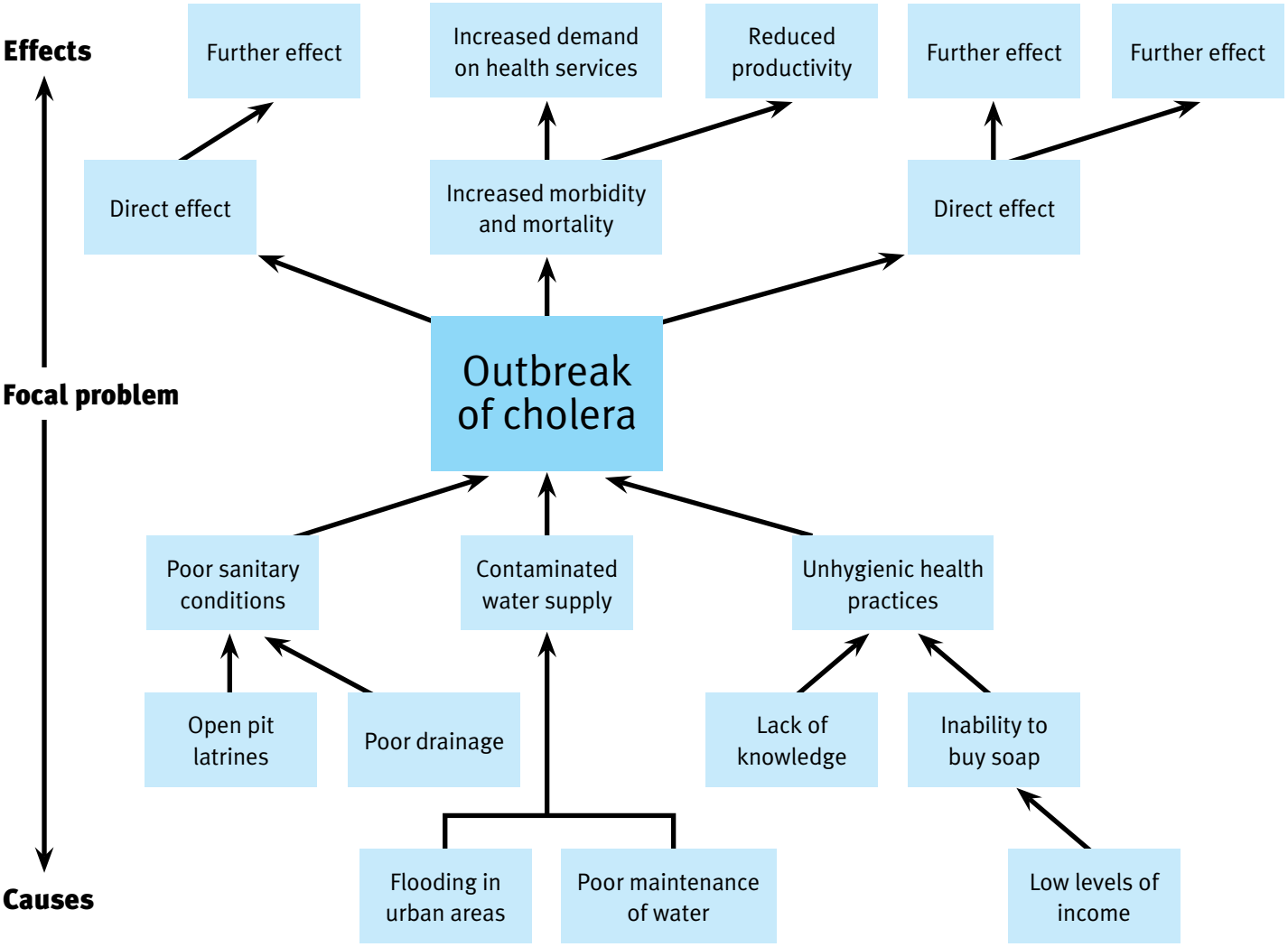
Writing the TOR:

- Who should be involved will depend in part on the objectives
- Ideally get the views of those affected or expected to "participate" in the research
- Give stakeholders the opportunity to contribute to the TOR where appropriate

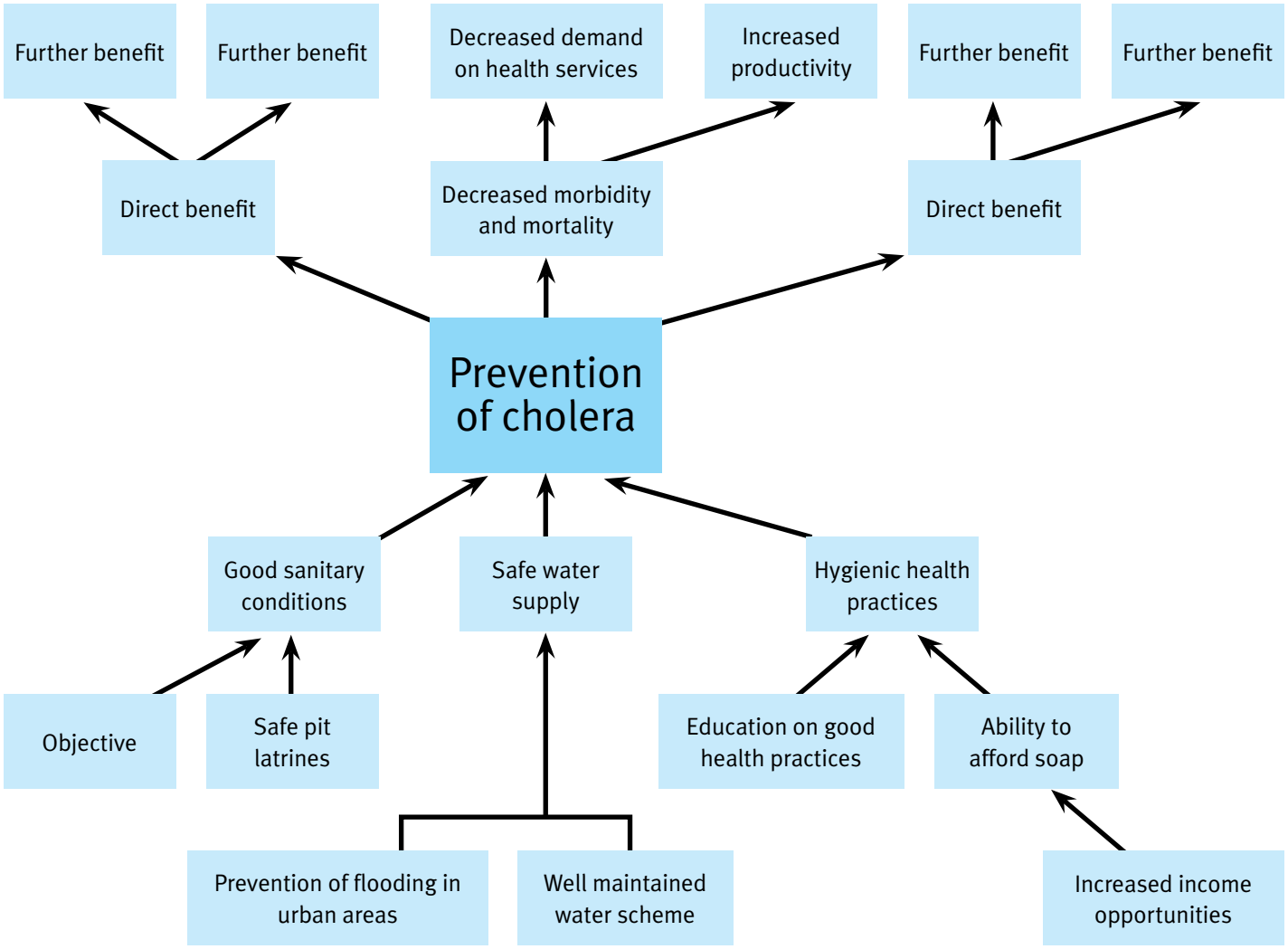
Contents of the TOR:

- It should make clear the purpose of the research – the why
- The use of the research – place the research in a context
- The ownership of the process: the who
- Set the objectives of the research in relation to its purpose
- Operationalise the general objectives into specific questions and where possible prioritise them – the what
- Define areas of special concern
- Define the qualitative or quantitative material required
- Set a realistic timeframe
- Agree the budget
- Outline the reporting requirements (length of report, frequency of reporting, etc)
- Specify whether any follow up is required on behalf of the team (eg presentation of the report, revisiting the site later etc)

3. The problem tree: core problem (with examples of some causes and effects)



The solution tree: goals or objectives



4. The RAPID table – moving on from analysing your advocay issue, to planning what action to take [38]

What you need to know (answers taken from RAPID framework)	**What you need to do**	**How to do it**
Political • Who are the policy makers? • Is there a demand for new ideas from policy makers? • What are the sources/ strengths of resistance? • What is the policymaking process? • What are the opportunities and timing for input into formal processes?	• Get to know the policy makers, their agenda and their constraints • Identify potential supporters and opponents • Keep an eye on the horizon and prepare for opportunities in regular policy processes • Look out for, and react to, unexpected policy windows	• Work with policy makers • Seek commissions • Align research programmes with high profile policy events • Reserve resources so you can move quickly and respond to policy windows • Allow sufficient time and resources
Evidence • What is the current theory? • How divergent is the new evidence? • What sort of evidence will convince policy makers? • What are the prevailing narratives?	• Establish long-term credibility • Provide practical solutions • Establish legitimacy • Build a convincing case and present clear policy options • Package new ideas in familiar theory or narratives • Communicate effectively	• Build up programmes of high-quality work • Create action-research and pilot projects that demonstrate the benefits of new approaches • Use participatory approaches to help with legitimacy and implementation • Clarify strategy and resources for communication from the start • Promote face-to-face communication
Links • Who are the main stakeholders in the policy discourse? • What links and networks exist between them? • Who are the intermediaries and what influence do they have? • Whose side are they on?	• Get to know other stakeholders • Establish a presence in existing networks • Build coalitions with likeminded stakeholders • Build new policy networks	• Build partnerships between researchers, policy makers, and communities • Identify major networkers and salespeople • Use informal contacts
External influences • Who are main national and international actors in the policy process? • What influence do they have? • What are their aid priorities? • What are their research priorities and mechanisms?	• Get to know the national and international actors, their priorities and constraints • Identify potential supporters, key individuals, and networks • Establish credibility • Monitor donor policy and look out for policy windows	• Develop extensive background on donor policies • Orient communications to suit donor priorities and language • Try to work with the donors and seek commissions • Stay in regular contact with important individuals

38 Court, J. and Young, J. (2006) *Bridging research and policy in international development: an analytical and practical framework. Why research – policy links matter.* (Adapted here from: Development in practice, Volume 16, Number 1). Report from link: http://www.odi.org.uk/RAPID/Publications/Documents/CDIP_A_145075.pdf

5. WSS stakeholders

Communities

Local communities are the primary stakeholders in the provision of WSS and hygiene services. They are often seen as the beneficiaries of advocacy efforts, but there may be times when they are also influentials. They are often voters in general and local elections, and may be part of special interest groups with political power.

It is also important to distinguish between various stakeholders within the local community, which is rarely a homogenous group. Different groups of stakeholders will have different perspectives on WSS. For example, as the primary collectors of domestic water, women may have a different view from their husbands, who may perceive other services as having higher priority. Farmers and livestock owners will have different priorities from those who use water only for domestic use. Compared with wealthier parts of the community, some poorer sections with low provision or ill health (due to inadequate sanitation services) may make sanitation a higher priority.

Local government

Local government officials may be keen to see WSS services improve. But they often have inadequate budgets to provide these services, and funding may be reduced by corruption and other constraints. In addition, they may lack information on the status of community services or even vehicles to visit project sites. There may be cases where officials from one government department can act as influentials over those of another department, as well as being advocacy targets themselves.

National government

National government officials, as policy makers, are often important advocacy targets, but some may also be influentials or even allies on a particular issue. As with local government, some departments may be able to exert influence or power over others. For example, the Finance Ministry may be able to affect the policy of another Ministry through its influence over budget allocations.

Civil society

By implementing WSS projects, NGOs can be allies in advocacy initiatives, or perhaps influentials, providing examples of good practice and policy alternatives.

Occasionally, international NGOs have an opportunity to influence donors and other international organisations, and can therefore become strategic allies or influentials. NGOs may also become advocacy targets themselves (for better practice or policy), in their role as donors or as operational practitioners.

In addition to NGOs, other civil society groups are important stakeholders in WSS development: community-based organisations, trade unions in public or private water supply service providers, and consumer associations may be allies or influentials in advocacy initiatives.

Private sector

The role of private water companies is increasing around the world, as WSS privatisation becomes increasingly popular with major donors and national governments. Water companies are likely to be adversaries and/or targets. However, they may also act as influentials in relation to national governments. Other private sector organisations such as domestic water companies, artisans and artisan associations, and consultants may be influentials, allies or targets in the advocacy process.

International donors and multi-lateral organisations

International organisations such as UN agencies and the World Bank have an influential role to play in the development of WSS policy. As funders of national government programmes, they are in a position to impose criteria on development policy, including WSS. They may therefore be both advocacy targets and influentials. However, it is important to remember that within such large institutions there will be a range of opinion on a given issue, and most such organisations will contain both targets and allies within them.

6. Stakeholder analysis table [39]

39 Ian Chandler, op cit.

The issue:	
Your position:	

Stakeholder	Attitude of the stakeholder to your position	Importance of the issue to the stakeholder	Influence of the stakeholder on the issue
	AA A N P PP	L M H	L M H
	AA A N P PP	L M H	L M H
	AA A N P PP	L M H	L M H
	AA A N P PP	L M H	L M H
	AA A N P PP	L M H	L M H
	AA A N P PP	L M H	L M H
	AA A N P PP	L M H	L M H

In completing this table you are effectively applying three filter questions to the list of stakeholders:

- To what extent does the stakeholder agree or disagree with your position? For each stakeholder you should assign them an attitude to your position:
  AA = Very anti
  A = Anti
  N = Neutral
  P = Pro
  PP = Very pro

- How much importance, relative to the other stakeholders, does the stakeholder attach to the issue?
  L = low
  M = medium
  H = high

- How much influence, relative to the other stakeholders, does this stakeholder have over the issue?
  L = low
  M = medium
  H = high

7. Comprehensive target analysis – an example table

Target/ influential	What do they know about the issue?	What is their attitude towards the issue?	What do they really care about?	Who has influence over them?	What influence or power do they have over the issue?
1. Provincial government Chief Executive, Governor or Province, Provincial Council	The have very little exposure to the problem, especially in rural areas of province	Not important: they don't think there's anything wrong in the lack of sanitation services, open defecation in rural areas etc. However, members of Council, Governor and Chief Executive, who live in provincial capital, have their own latrines/pour-flush toilets	Getting donor aid into the province: council members care about votes and elections in two years' time; they're keen for their names to be linked with a good project investment in province	World Bank and other major donors; the electorate (Council members)	
2. District government officials	Slightly more exposure to the issue than provincial level	Not very interested	Increasing their level of funding, in particular in relation to the Provincial government and attracting donor aid into district	Donors; Provincial government	These actors have potentially strong voices and if they can be exposed to the problems and convinced of the need they may be able to influence decisions to invest more financial resources into WSS
3. The media	Little exposure	Not relevant or important	Circulation figures; interesting stories		
4. Ministry of Water officials	Good understanding of the issues involved	Split: those based at district level are keen to see changes; national level staff have other priorities	Budget allocations Standards in sanitation and other services	Ministry of Finance; World Bank	Ministry of Water officials do have access to the Ministry of Finance officials and could demonstrate both good field practice and the benefits of investing increased resources into WSS
5. World Bank (major funders in the WSS sector)	Some understanding	Not a priority	Increased 'economic efficiency' in government services		The Executive Directors of the governing body of the World Bank Group are very high level actors and would be difficult to influence. However, one can try to influence the World Bank country Task Managers who have opportunity to influence the Executive Directors when they report on good field level programmes

8. Sample advocacy budget

Activity	Budget
Budget for local action research on a particular issue (a pre-advocacy activity):	
Fees for researchers (or per diem for staff seconded as researchers, for X days and x number of researchers, depending on organisation practice)	
Travel/transportation for researchers	
Accommodation and refreshments (in case researchers need to stay in the community to undertake research)	
Materials (for example, batteries for tape recorders, cassette tapes, etc)	
Administration costs (for example, phone calls, photocopying, pre-visits to area to set up interviews, etc)	
Research meetings (for example, for planning, discussing findings, etc. Cost depends on how many people need to participate in these meetings)	
Production of report	
Post-research costs:	
Publishing of report	
Public launch of report	
Media activity, vis-à-vis report (could include meetings with journalists, for which costs of arranging the meeting could be included)	
Meetings with public officials or politicians to seek action on report (could include administrative costs of setting up the meeting)	
Community-based participatory research, additional costs:	
Hire of venue for community research activities	
Refreshments for community activities	
Documentation materials (for example, flipcharts/pens, camera/film)	

If the research is carried out in several communities across the country, additional costs of setting up research interviews in each of the communities should be included. Travel and accommodation costs will also increase.

Likewise, where this kind of research depends on the action of other organisations, coordination costs need to be included. This usually means more administrative expenses: phone calls and faxes, cost of email, additional coordination meetings, or larger and longer research meetings.

The same principle applies to conducting research across different countries, involving different organisations.

9. Questions of good governance for alliances

- How can you develop membership criteria and mechanisms for including new members?
- Who are the leaders and how are they chosen? How are they held accountable to the members? What are their functions?
- How are decisions for the alliance made? Basic, simple processes are needed to identify which decisions need group discussion and to mediate conflicts over decisions. Are decisions made by leadership, after group discussion, or by the full group (either by consensus or voting)? If voting, do larger organisations have more votes, or does each organisation get one vote? If a member doesn't have decision-making authority within their home organisation, can more time be given before voting? Are there different processes for strategic decisions, day-to-day decisions and emergency decisions?
- Select a steering committee if the group is large
- Assess progress periodically and make changes if necessary
- Clarify the alliance's identity, its role and members' autonomy. When do members act as a group? Through what process is this decided? How long does the process take? Is there a shorter process during emergencies? When and how can members act alone? What are the consequences for violating agreements?
- Communication. Are notes taken at each meeting? Are they distributed to members, and how? What information needs to be shared between meetings, and how? How do members stay in touch when there is an emergency? What is common language used by the alliance? What impact does this have on time needed during meetings, particularly regarding resources for interpreters, translating and so on?
- Logistics. How often does the alliance meet? How often do subgroups or task forces meet? Where does the alliance meet? Is the location fixed or rotated? Who facilitates each meeting? Is facilitation shared? How is the meeting agenda created? Who prioritises the agenda items?

10. Simple advocacy action plan

The following table outlines what a simple advocacy action plan might look like for a small NGO that helps poor communities to gain access to water and sanitation in the slums of a large city in a developing country.

The advocacy action plan focuses on improving water and sanitation services for the community, whilst at the same time increasing the community's, in particular women's, capacity to advocate.

Objectives	Targets	Activities	Indicators	Timing	Responsibility	Review
1. Gain permission to establish four community managed water points in the X district of the city, that provide affordable access to the city's water supply for a minimum of 2000 people.	City water utility	Exposure visits for utility representative to visit community water points in another city. Lobbying meetings with targets to explain how the payment and maintenance system could work. Engage the media to highlight the unfairness of these communities currently lacking access to water.	Utility agrees to the proposal and allocates a budget for four water points to be constructed.	By June 2008.	The NGO's advocacy manager and urban programme manager	January 2008
	Local government	Submit reports demonstrating the health benefits of the water points.	Planning permission is granted for the construction of the four water points	By December 2008	The NGO's health advisor	June 2008
	Corporate landlord	Build pressure from the company's employees.	Company pledges to donate land on which to build the water points	By March 2008	The NGO's trustees	January 2008

Objectives	Targets	Activities	Indicators	Timing	Responsibility	Review
2. 80% of households in the X, Y and Z districts to build their own latrines	Local government	Documentary evidence of the economic benefits of sanitation.	Announcement of 25% government subsidy for latrine construction costs.	By January 2009.	The NGO's sanitation manager	October 2008.
	Community	Dissemination of hygiene messages through street theatre and radio programmes.	500 households sign up to attend latrine construction training days.	By April 2009.	The NGO's communications manager.	December 2008.
	Other NGOs	Form network to coordinate sanitation provision plans.	Clear action plan developed for rolling out latrine construction programmes.	By April 2008.	The NGO's advocacy manager.	January 2008.
3. 80% of households in the X, Y and Z districts to adopt good hygiene.	Local education authority	Videos provided to document how teachers can introduce child to child hygiene programmes that empower children to pass on health messages to their peers.	50% of schoolchildren surveyed report they have received hygiene messages.	By April 2008.	The NGO's communications manager.	January 2008.
	Factory owners.	Petitions to install wash basins.	One sink installed per 100 employees.	By March 2008.	The NGO's advocacy manager.	January 2008.
	Media	Lobbying meetings to persuade the media to provide free advertising for health messages.	Coverage in the city's main newspaper, on a TV news progamme and on three radio stations.	By March 2008.	The NGO's communications manager.	January 2008.

11. WaterAid advocacy programme plan – for three year advocacy plans

Advocacy programme plan outline	Additional notes for writing advocacy programme plans
1. Programme title: (one line) What is the title of the advocacy programme plan?	**1. Programme title** The title captures the main focus of the advocacy programme plan, or even the main change it will seek to achieve. Preferably, the title is short and snappy.
2. Rationale and background: (max two pages) How does the proposed work relate to WaterAid policy priorities, as identified in the Programme and Policy Sector Framework and/or the country strategy paper? Why is it necessary for the organisation to carry out this work? What is happening in the external environment that makes this intervention necessary, and who are the actors responsible for the situation? What opportunities/threats in the external environment will make the intervention worthwhile and/or challenging? What has the organisation done in the past on the issue and what are the opportunities that puts it in a position to intervene?	**2. Rationale and background** This section explains the external situation that exists or has arisen that has made work on the theme or area of work by WaterAid necessary. It also explains the internal situation in WaterAid that will make the proposed programme feasible to undertake.
3. Objectives: (max one page) What changes in policy or practice will the intervention seek to achieve? What changes in local civil society organisations' capacity to advocate will the intervention seek to achieve? What changes in poor people's material situation and voice will the intervention seek to achieve? What change objectives, as identified in the Programme and Policy Sector Framework and/or country strategy paper will this intervention contribute to achieving?	**3. Objectives** This section lists the changes in the external situation and policy and/or practice issue that the work on the theme or area of work will seek to achieve. This section should clearly state what strategic policy change objectives in the Programme and Policy Sector Framework and or the country strategy paper it relates to, and will contribute towards achievement. All change objectives must be clearly stated and include any sub-objectives. For a description of goals, objectives and strategies see *Planning for action* pages 62 and 63. For examples of WaterAid's change objectives, please refer to the section titled: *WaterAid seeks to achieve the following strategic changes through advocacy:* page 20. If change objectives cannot yet be clearly stated (for example, because we need to undertake research to develop alternative policy proposals), then this section should indicate when (at what phase of the programme or stage of project activities) change objectives will be made clear. Once change objectives are identified, this should be attached to the advocacy programme plan as amendment and dated.

WaterAid advocacy plan

4. Description of programme: (max two pages) In general terms, what will be done under the programme to achieve its objectives? Who are the primary targets for influencing and advocacy, and who are the likely allies that the organisation will seek to work with to influence these targets? What is the likely timeframe for the whole programme, what phases will the whole programme undergo? What exit strategy, where necessary, is proposed that will preserve the gains of the programme? How will learning and capacity strengthening be ensured from programme activities?	**4. Description of programme** This section is a brief and general description of the whole programme, indicating the various activities that will be undertaken over a specified period of time, addressing what issues and targets for advocacy are already clear at the time of preparing the advocacy programme plan. (For example, a general description could be: This is a programme to establish a national network of civil society organisations and undertake research, training and learning activities with them in order to improve civil society capacity to scrutinise government decisions over the financing of water and sanitation services…) It is important that an analysis of stakeholders on the issue/theme be undertaken as part of designing the advocacy programme plan. For guidance on how to do a stakeholder analysis, please refer to the section on stakeholder analysis on page 44 of *The Advocacy Sourcebook*.
5. Programme activities: (max three pages) What specific activities will be pursued under the programme? Where will the programme be implemented? Who are the implementation partners of the programme?	**5. Programme activities** This section lists all the types of activities that will be pursued under the programme, and may include any of the following: research, policy paper analysis, lobbying, network-building, training, publishing and dissemination, campaigning, etc. It should identify the areas where the programme will be implemented (for example, national level, or four districts), the partners to be involved and the methods that will be used. a. Where the programme includes lobbying and campaigning, the section should include on a separate sheet a table of lobbying and campaigning targets, when (not necessarily exact date) they will be lobbied, and the core messages that will be delivered. Where lobbying and campaigning targets cannot yet be identified, for lack of information, the advocacy programme proposal must indicate when the detailed lobbying and campaigning plan will be produced. Once produced, the table of lobbying and campaigning targets should be attached to the advocacy programme proposal as an amendment and dated. b. For PPED, where publications and media communications are part of the activities, a Publication Checklist/Communication Services Form should also be filled in after the advocacy programme proposal is agreed. c. Where activities include research, a more detailed research plan will need to be produced detailing the questions for the research, the research methodology to be used and the research sites. The research plan will need to be attached to the Advocacy Programme Plan as amended and dated, once it is completed, usually after a Research Inception Seminar. WaterAid staff to refer to the WaterAid Advocacy Protocol No. 4 WaterAid Research Protocol – available on request.

WaterAid advocacy plan

6. Table of outputs and outcomes (max one page) What are the outputs envisaged from implementing the programme? What are the outcomes envisaged from implementing the programme?	**6. Outputs and outcomes** This section lists all the outputs and outcomes to be achieved by the programme and the likely period when they are expected to be achieved. For further guidance on the difference between outputs and outcomes, please refer to the M&E section (5) of the sourcebook.
7. Programme implementation and management: (max one page) Who is the programme manager responsible for managing and implementing this plan? What other staff will be involved in implementing the plan? What will their responsibility in implementation be? Are they aware of their responsibilities? What other organisations will be involved in implementing the plan? Have agreements been reached with these organisations as to their responsibilities and the nature of the relationships with them? What involvement, if any, is necessary from WaterAid's Directors or other senior staff, PPED staff and other country programmes? How is quality assurance to be ensured? What is the management and implementation structure for the programme? How often will programme reporting be undertaken and in what way? Are there any specific training/learning activities necessary to ensure staff are able to carry out their responsibilities?	**7. Programme implementation and management** This section explains how the whole programme will be managed and implemented. It provides information on the involvement of other staff, organisations, country programmes, UK staff or WaterAid Directors. Where some activities will be contracted out, it identifies what these activities are and to whom they will be contracted out (or the mechanism for contracting out). Where current partners are going to be involved, it is necessary to identify the actual partner staff to be involved and whether involvement is already covered by some formal or informal agreement, or already funded or will require additional funding. Where other country programmes are to be involved, information must be provided in regard to their roles in implementation and whether country programme agreement has already been secured. This section also explains how high quality work will be achieved, what quality assurance arrangements will be put in place and who will be responsible for this. For all research-related activities, management of the whole research activity will normally include the creation of a project management team. And quality assurance is normally ensured through the creation of an external/internal Peer Review Panel, working together with the Project Management Team. Finally, this section explains frequency and mechanism for reporting (for example, to the Country Programme Management team, or UK departments).
8. Monitoring and evaluation: (max one page) What activities and indicators will be monitored to provide evidence of outputs and outcomes, or achievement of objectives? How will this monitoring be carried out, and who will be involved in monitoring? What learning activities will be undertaken to ensure lessons are understood and shared? What evaluation or impact assessment will be carried out?	**8. Monitoring and evaluation** This section states what activities and indicators will be monitored, what learning reviews will be carried out for what areas of activities, and what review, evaluation or impact assessment will be carried out when. Where the programme includes lobbying action, this should provide information on how lobbying outcomes will be monitored.

WaterAid advocacy plan

9. Budget and resources: (max two pages) What funding is required, and where is this expected to come from, to implement the programme? What are all the expected expenditures for programme implementation? Apart from funds, what other resources will be required for programme implementation? What is the timetable for when income is required and expenditures will be made?	**9. Budget and resources** This section will comprise two parts: a consolidated budget, showing income and expenditure according to identified programme activities, and a spreadsheet that provides information on when income will be received and expenditure spent over the course of the year(s) of the programme. The section also provides information on any other resources the programme will require over the course of the programme (for example media advice from WaterAid's Communications Team).
10. Work plan What is the timetable for implementation of activities over the course of the whole programme?	**10. Work plan** This section provides information in a spreadsheet, on the activities that will be carried over the years (for multi-year programmes).

12. WaterAid protocol on public campaigning

Political campaigning is any activity that tries to secure or oppose a change in the law or policy of a central government or local authority in the UK or abroad. WaterAid's campaigning and political activities comply with the regulations that govern WaterAid as a charity, and the legal and registration requirements that apply in individual country programmes.

In each country where WaterAid works, WaterAid's conduct on campaigning and political activities will be governed by its registered status and the legal requirements of the country.

All campaigning supported by WaterAid funding must be in harmony with WaterAid's mission and objectives. WaterAid cannot campaign on issues, no matter how important, that are unrelated to its purpose. When developing a campaign, the link between the activity and WaterAid's mission and objectives must be clear.

A campaign cannot be the main aim of WaterAid's work: political campaigning 'must remain incidental or ancillary to the charity's purposes'.

No campaign material should misrepresent the truth, cause undue offence or present opinion as fact. Campaigns must be culturally sensitive to the context in which the activities are delivered.

13. Tips on good press releases

News release structure

- Start the release with a simple, descriptive and catchy headline to grab attention, and include the date of the release
- The opening paragraph tells the story in a nutshell, and tells the reader: who, what, when and where. The 'why' can be covered in subsequent paragraphs, which progressively expand the details
- News releases are pyramid shaped. Put the most important information first, and the background information lower down
- A quote is a useful means of changing the tense, tempo and interest, and will usually appear as paragraph three
- A 'Further information' section should contain your contact name and telephone number on which you *must* be available
- Finish with 'Notes to editors', include the most recently agreed wording for the paragraph about the work of your organisation, in addition to any specific notes relating to the news release

Writing style

- A good news release reads like a story. Your story will usually be about the people being helped, doing the helping, or making the donation, rather just about the message
- The story should not be the only the hook to gain coverage. It should also provide a clear illustration of the message. Start with what you're trying to say (message), then find a way to say it that is different and interesting, and that illustrates it clearly (story)
- The quote must sound like someone actually said it. Try to get at least part of your key message into the quote – it's the one part no journalist should alter
- Avoid jargon, emotional language and charity-speak. Always bear in mind the audience, whether newspaper readers, journalists, listeners etc
- Keep your copy clear and accessible. Always explain acronyms the first time you use one. Only use capital letters at the start of sentences and for proper nouns

Format

- Try to make the release one page only, with ample spacing between lines. Send it out on your organisation's letterhead paper
- At the end of each page, if you have more than one, write 'More/...' in bold in the bottom right hand corner
- At the finish of the body of the release write 'Ends' in bold at left hand margin
- Check your spelling at least twice and get someone else to read it over

14. Sample press release

26/04/2007

Where's the money Mrs Merkel?

As Tony Blair meets with German Chancellor Angela Merkel in Berlin to discuss this year's G8 agenda, questions are being asked about the promises made at Gleneagles in 2005.

A seven member panel, chaired by Kofi Annan and appointed by the UK has been checking progress towards meeting the Gleneagles pledges. Today the group will report that leaders of the G8 countries have provided less than 10 per cent of the extra aid they promised. This amounts to £1 billion of the £12.5 billion promised by 2010.

"As well as sharing a collective blind spot on their aid pledges, most of the G8 countries perform poorly on how aid is spent. Whilst the poor list water and sanitation amongst their top priorities governments continually fail to prioritise the sector.

"Aid spending on health and education has doubled since 1990 whilst the share of aid spent on water and sanitation is falling. Governments must not continue to ignore the crisis in water and sanitation that affects 40% of the world's population." Ann Cropper, WaterAid Head of Programme Funding.

Girls are kept from attending school by hours of water fetching labour. Women are similarly constrained from income generating activities. According to the UN over half of the world's hospital beds are taken up with people suffering from diarrhoeal diseases. Dirty water and poor sanitation account for almost 5000 child deaths every day making water-related diseases the second largest cause of child mortality in the world.

"At WaterAid we're waiting to see if water and sanitation make it onto this year's G8 agenda, if 5000 children were dying every day in the developed world from an entirely preventable cause the world's richest nations would be taking urgent and immediate action." Ann Cropper, WaterAid Head of Programme Funding.

Ends

To speak to a spokesperson or to request photos please contact: **Charlotte Godber** on **020 7793 4909** or Charlottegodber@wateraid.org

For more information visit www.wateraid.org

Notes to Editor

- **WaterAid** is the UK's only major charity dedicated exclusively to the provision of safe domestic water, sanitation and hygiene education to the world's poorest people.
- 1.1 billion people or roughly one sixth of the world's population do not have access to safe water, and 2.6 billion people or two fifths of the world's population do not have access to adequate sanitation.
- 1.8 million children die every year as a result of diseases caused by unclean water and poor sanitation. This amounts to around 5000 deaths a day. (WHO)
- WaterAid projects providing safe water, sanitation and hygiene education cost just **£15 per head**

WaterAid, 47 – 49 Durham Street, London SE11 5JD www.wateraid.org
Tel: 020 7793 4500

15. Writing worth reading

If you panic when it comes to putting pen to paper, help is at hand ...

Many people think that good writers are born, but few are blessed with natural ability and the rest of us have to learn! But we can learn. After all, what is the point in putting the effort into researching for a report, if poor copy spoils your hard work, undermining an entire campaign because no one reads the end result?

You should strive to write well because good copy:

- gets read, not binned
- is essential for effective communication, averting the kind of misunderstanding that leads to ill will between an organisation and its publics
- persuades and influences
- enhances the image of an organisation
- can help you distinguish yourself from your competitors
- can give you a valuable competitive advantage

NB. *'Copy' in comparison to 'writing' is generally seen as text that is more like the spoken word with a snappy, informal, digestible and creative feel to it. It is usually written in the active not passive voice (ie.* John Smith ran the writing workshop *instead of* the writing workshop was run by John Smith*)*

Background – before you start

Sometimes the written material you produce is the first or only contact someone will have with your organisation. It will be used as the basis for deciding whether the reader wants further contact: your organisation will be judged by your leaflet, report or brochure. So if you write in a friendly way you will be seen as a friendly organisation but if you write in a pompous way you will be seen as a pompous organisation.

With practice, a little confidence building and a liberal helping of trade secrets, you'll be able to write powerful and persuasive copy that everyone will want to read.

Start by recognising that any fears or anxieties you have about writing are quite normal. Inexperienced writers feel failures because they cannot sit down with a blank sheet of paper and instantly churn out startlingly original and creative work. Who can? Even professional copywriters don't sit down and write fluent, flowing and perfectly polished prose straight off.

One of the main keys to good writing is to understand how and what people read. Think about how and what you read.

Audience

No one can write meaningfully without regard to their audience. Each audience will have distinct needs, interests and preferences. Forget your reader and you might as well be talking to yourself.

Your reader may not be interested in you at all, or your charity. You must get them interested – **quickly** – and keep them interested. Your aim is riveted readers. Remember that riveted readers need riveting writing.

Before you start writing, begin by asking: "Who will be reading it?" Make sure that your answer is specific as possible – find out as much as you can about your audience. Think about whether you know anyone who fits your target audience. Write for them. It is always easier to write for a real person than an abstract one. And remember if you wouldn't want to read your article, leaflet etc no one else will either.

Try to get inside the head of your reader. What will make them sit up and take notice? What interests them? How much time do they have to deal with your material? Are they being bombarded by similar material from elsewhere?

Purpose

Having considered who you are writing for, turn your attention to why you are writing. What is the purpose of the material? To persuade, inform, attract a donation, sell, educate, build an image or a combination of these? An information leaflet/article will contain lots of facts. One designed to build an image would be totally different. Also consider what action you want readers to take as a result of reading what you have written.

Tone/personality

When we speak, we can say the same words but come across very differently depending on how we say them. For example, we can say the word 'hurry' in an angry or impatient way, an imploring way, or in a questioning way. Facial expressions and body language reinforce our message. The written word is one dimensional in comparison. All meaning must be conveyed without the added help of intonation or non-verbal clues. Decide on tone before you begin writing. Do you want to come across as friendly and informal, authoritative, caring?

Getting started

Many people find that getting started is the hardest part of writing. Once you're in full flow it's fine, but those first few sentences can be hell. If you follow the six stages of writing below then it will become much easier:

- **Collecting**
  Note all of your relevant thoughts, ideas and information in any order. If you don't complete this stage, you may find that you are so busy trying to remember all the thoughts and ideas zipping around in your head that you are unable to concentrate on the task of writing. There's also the risk that you will overlook something important.

- **Grouping**
  Group the above into clear themes (adding any other ideas that spring to mind). Add detail. Delete anything silly.

- **Ordering**
  Put your themes into a clear and logical order that will make sense to the reader. Each new theme or section should lead on logically form the preceding one.

- **Placing**
  Decide what is going where and how much space it should have.

- **Writing**
  At last you are ready to start writing. Look through any notes you have created so that you are reminded of the task in hand. Now produce a first draft. Don't worry too much about style at this stage; it's only a draft and may end up being revised several times before you complete it. Remember that a first draft is extremely unlikely to be perfect.

- **Revising**
  You are likely to have to revise your work several times. Put your copy to one side and return to it later, preferably after a few days, but at least overnight. You will find it easier to spot any stilted text, any inappropriate words or sections, any repetitions. Re-read what you have written through the eyes of the intended audience. Check that the style is right for your reader. Ensure your purpose is clear and that the necessary messages are conveyed.

When you are revising your work look out for:

- **Repetition**

- **Clichés**

- **Irrelevancies** (only focus on one story – write what the reader needs to know and don't include irrelevant background information)

- **Redundant words** (eg work colleague – should just read colleague, 10am in the morning should just be 10am)

- **Ambiguity** (be short and concise)

- **Omissions** (telephone numbers, dates, names etc – all the bits you meant to fill in later but didn't!)

- **Jargon** (most charities and organisations have phrases and terms that they use internally which probably won't be understood externally. Therefore don't use jargon and if you do use it make sure its meaning is clear)

- **Unexplained abbreviations** (spell out all acronyms the first time that they are used in a document)

Having spotted the errors in your first draft, correct them. Rewrite any sections that need changing. By re-reading your work after an acceptable interval, you are a little more objective and critical – and a great deal more refreshed. Once you have completed as many revisions as necessary, it's time to try your work out on others – preferably two or three people form the audience at whom your writing is aimed.

Top tips

- Short, concise copy will convey your message to the reader much more effectively than unnecessarily long, wordy copy

- It is not how long the copy is – it is how long the reader thinks it is. While much of the look is often down to designers – other things help too:
  - Write in bite sized chunks
  - Use bullet points to break up text
  - Use "pull quotes"
  - Use boxes
  - Use subheadings

- Show people – don't tell them (writing shouldn't be a pedestrian account eg I went here and then I did this)
- Use contractions (I'll, you'll etc)
- Write situational copy if possible – think about where the copy will be read
- Apply the ABC
  - Accuracy
  - Brevacy
  - Clarity
- Use plain English (everyday words – people aren't impressed by words that they don't understand!)
- Vary the length of sentences but generally keep them short (15 – 20 words)
- Don't use jargon or unnecessary terms
- Don't use padding or puffing – it isn't needed
- Write in a clear, logical order
- Have an understanding of what the reader needs to know

16. Tips on public speaking

How to prepare for a talk

Ask yourself: Who? Why? What? When? How? Where? Who is your audience? Why are you doing your talk? What do you want your audience to think and do after your talk? In other words, what are your objectives? When are you going to do your talk? How will you do your talk? Where will it be?

Decide on your key messages. Decide on three or four (no more) key messages you want to get across and concentrate your presentation on these.

Structuring your talk. Like the old saying, "Tell them what you're going to tell them, tell them, and then tell them what you've told them."

- Beginning: introduce yourself. Tell them what to expect i.e. how long will you talk, what about, what visual aids will you use, when can they ask questions.
- Middle: key points illustrated with examples.
- End: summary. Call to action.

Make notes. Everyone has their preferred way of preparing notes for a presentation. These may be either a full script (although you will sound like you are reading!) or writing out the beginning and end (which helps a smooth start and a confident conclusion), or use outline notes with headings, sub-headings, and key words or phrases to guide you.

Rehearse. You will find that rehearsing, even on your own in an empty room, can help you familiarise yourself with your material. It will also help you to judge the timing, get used to the sound of your own voice and build confidence.

Visual aids. These can provide striking visual impact, and may be a useful to support a presentation. 10-15 good quality slides have a greater impact than 25 –30 poor ones. Try to use just a few words on your slides, and use them as prompts for your talk. Try to think of other engaging ways of presenting your talk. WaterAid speakers, for example, might consider pouring out a glass of contaminated water and asking if the audience would like to drink it; or bringing a jerry can, filled with water, to demonstrate the weight women carry daily.

17. Sample lobby brief

WaterAid

WORLD DEVELOPMENT MOVEMENT

Reforming public utilities to meet the water and sanitation MDGs

- The success or failure of public utilities - as they are already responsible for over 90% of piped water supplies - will have a massive impact on progress towards the water and sanitation MDG targets. Capacity-building and investment within public sector utilities is vital.

- While many public water utilities in the developing world are inefficient and unresponsive to the needs of users, a growing number are challenging this negative image and are instead providing a new, positive vision of 'public-ness', with effective operations on the ground, in which users and staff can take pride.

- These public utilities are efficient (connecting new communities and making scarce resources stretch further), accountable to users and government, transparent in how they operate, and, in some cases, directly involving communities in decision-making (eg. on tariffs, cost recovery and investment priorities).

- These successes were achieved through a programme of internal operational, structural and attitudinal reforms, championed by the utilities' own management and staff, with support from government and civil society.

- DFID says that 95 per cent of its water sector funding goes into public and community water provision; but both WDM and WaterAid have looked into this matter and cannot find strong, consistent action from DFID to support the kinds of processes that can help public utilities reform successfully.

- Donors like DFID could do more to support the successful reform of public utilities. This could include:
    1. Recognising how international financial institutions sometimes promote private sector reform options to the exclusion of all other possibilities, and refusing to fund projects that stem from these conditions.
    2. Playing an active, visible role on the international stage to promote viable public reform solutions and government leadership over the global water crisis.
    3. Giving strong political support to public utilities in speeches, research and policy analyses, and devoting significant DFID resources to understanding this agenda and disseminating good models to DFID country offices and governments
    4. Ensuring technical assistance projects and processes always include public sector reform models on the 'menu of options' being explored.
    5. Supporting public-public partnerships or PUPs - arrangements between public utilities, which match up well-performing public utilities with those needing assistance, to share expertise on a not-for-profit basis in order to build capacity within the weaker utility. PUPs could be supported in different ways including: one-off grants to pay for one utility to support another or a mechanism such as a Public-Public Infrastructure Advisory Facility which would fund such arrangements.
    6. Investing in in-country water dialogues and capacity-building to enable public discourse over the direction of water utility reform and building civil society capacity to engage in these processes, eg. through a water governance fund.

WaterAid's mission is to overcome poverty by enabling the world's poorest people to gain access to safe water, sanitation and hygiene education.

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