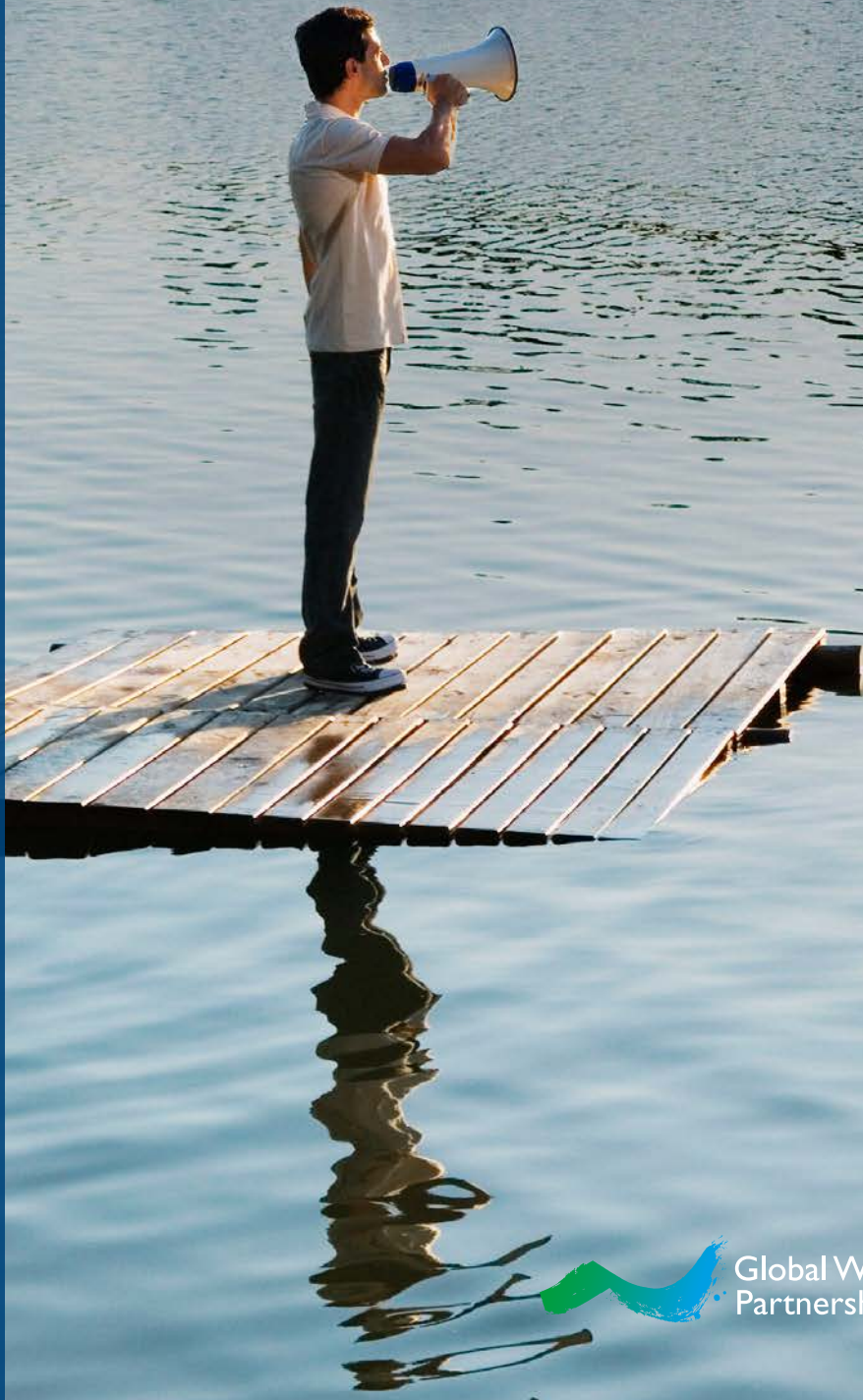ASSOCIATED PROGRAMME
ON FLOOD MANAGEMENT

INTEGRATED FLOOD MANAGEMENT TOOLS SERIES

TECHNICAL ASSISTANCE FOR THE PREPARATION OF AN ADVOCACY STRATEGY

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Global Water
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The **Associated Programme on Flood Management** (APFM) is a joint initiative of the World Meteorological Organization (WMO) and the Global Water Partnership (GWP).

It promotes the concept of Integrated Flood Management (IFM) as a new approach to flood management. The programme is financially supported by the Federal Office for the Environment of Switzerland (FOEN), the French Ministry of Foreign Affairs and International Development, the National Water Commission of Mexico (CONAGUA) and the U.S. Agency for International Development (USAID).

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To the reader

This publication is part of the *"Integrated Flood Management Tools Series"* being compiled by the Associated Programme on Flood Management. The Technical Assistance for the Preparation of an Advocacy Strategy Tool is based on available literature and draws on the findings from relevant works wherever possible.

This Tool addresses the needs of practitioners and allows them to easily access relevant guidance materials. The Tool is considered as a resource guide/material for practitioners and not an academic paper. References used are mostly available on the Internet and hyperlinks are provided in the References section.

This Tool is a "living document" and will be updated based on sharing of experiences with its readers. The Associated Programme on Flood Management encourages flood managers and related experts around the globe who are engaged in advocacy to participate in the enrichment of the Tool. For this purpose, comments and other inputs are cordially invited. Authorship and contributions will be appropriately acknowledged. Please kindly submit your inputs to the following email address: apfm@wmo.int under Subject: *"Technical Assistance for the Preparation of an Advocacy Strategy"*.

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The designations employed and the presentation of material in this publication do not imply the expression of any opinion whatsoever on the part of the Secretariat of the World Meteorological Organization concerning the legal status of any country, territory, city, or area, or of its authorities, or concerning the delimitation of its frontiers or boundaries.

CONTENTS

1 ABSTRACT

1   In a modern society, science and political decision-making should complement one another. However, there is a gap between the two that often translates into an inability to achieve points of convergence between policy and science. The absence of a language that can capture decision makers' interest hinders the translation of scientific knowledge into concrete political action that can bring about positive changes for citizens' general well-being.

2   It is in this space, therefore, that advocacy plays a role by operating in the gaps between science and politics, generating collaborative environments which benefit the general population. Advocacy helps to solve problems by effecting specific changes in policies and public programmes, as well as strengthening and empowering civil society by promoting and consolidating democracy.

3   However, successfully implementing an advocacy strategy involves difficult planning and coordination work. Firstly, the problem must be diagnosed, which requires in-depth knowledge about its underlying causes; it is easier to design solutions with high potential impact if the problem is well understood. Research should therefore be conducted before choosing an advocacy issue on a policy to be modified.

4   With this in mind, it is important to remember that it is not enough to have a broad and detailed understanding of the problems to be addressed. Decision-making spaces should also be analysed since it is crucial to identify actors and institutions with political power and understand their interests to determine if there is an enabling environment to changes in public policy.

5   Special attention should also be paid to the selection of the advocacy issue, which should involve the use of important criteria that help advocacy workers to identify initiatives with sufficient weight to achieve the proposed targets. It is therefore crucial to consider the relative contribution, the potential impact on society, the likelihood of success, the potential for working in coalitions, potential risk and the potential to advocate for a specific cause.

6   An advocacy strategy should consider the importance of audience selection, since changes resulting from the decision-making process will generally exclude some people and institutions. In this respect, it is important to classify the primary and secondary audiences and opponents by order of priority to ensure advocacy work can be planned with the target audience in mind. Goals set should clearly indicate what will change, who will make the change and over what time frame. If goals are vague and ambiguous, it will be difficult to explain intended achievements. It is therefore important to distinguish between impact goals and effect goals: the former generate policy changes and the latter generate changes in behaviours and systems.

7   One of the most important aspects of an advocacy strategy is the analysis of channels of influence. The following questions should be asked when analysing a decision-making space to be used to influence actors: who has the power to make decisions on the proposal; in other words, who is the decision maker? What is the decision-making process?

8   Regarding the first question, it is important to remember that sometimes the person with the formal authority to make decisions is not the person who really has the power. With respect to the second, when analysing governmental or institutional decision-making processes, it is important to distinguish between formal and informal procedures. The formal procedure is the official process according to national law or institutional bylaws. The informal procedure, on the other hand, is the set of activities and processes occurring in parallel to the formal procedure. For example, the person presiding over the legislative assembly may be influenced by an advisor or group of professionals with whom he or she meets to discuss policy.

9   The other key issue is the power map, which helps advocacy workers to identify allies and opponents. Having allies is critical for an advocacy initiative for several reasons. Firstly, it raises awareness of the issue. Secondly, the impact of advocacy work can be increased by collaborating with other individuals or organizations interested in the same issue. Thirdly, it achieves a sort of economy of scale by bringing together the resources and skills of several organizations and individuals.

10   Another aspect of refining an advocacy strategy is finding out who may oppose the goals set. This is just as important as identifying allies. A strategy will be more effective if advocacy workers try to understand opponents' reasoning and why they might feel threatened by the proposed policy change. An advocacy strategy may also include messages targeted at opponents in order to persuade them and potentially change their opinions, or at least avoid a situation in which they roundly oppose the changes to be pursued.

11   Once the context of the advocacy issue has been studied as described above, a detailed plan should be formulated for each of the following steps. Monitoring should be conducted in parallel during the plan's implementation and, if necessary, the plan should be adapted according to the results obtained. Regular evaluation should be conducted to assess these results against the goals of the advocacy strategy.

2 THE IMPORTANCE OF FORMULATING AN ADVOCACY STRATEGY

12   One of the most significant problems today is the gap between science and political decision-making. This gap may be partly explained by the idea that scientific achievements are often considered to be confined to an "ivory tower", unreachable by those who are not part of the science world. This is largely because it is difficult to transmit scientific knowledge in a language that can capture the interest of decision makers. It is important to build a bridge between science and politics, and an advocacy strategy is a useful tool to link these two spheres.

13   To be precise, an advocacy strategy is a tool that helps citizens participate in decisions made by the authorities. It promotes and strengthens the links and interactions between civil society and the State, and consequently drives forward the democratic process.

14   Furthermore, "advocacy allows us to progress from complaining to proposing solutions, and hence strengthens the power of civil society organizations seeking to generate and contribute towards the common good" – (Choy, 2005).

15   Advocacy strategies also contribute towards changes in social, economic, cultural and political circumstances through their commitment to democracy. An advocacy strategy allows groups to effect change against the absence or detrimental impact of policies.

16   Another important element of advocacy strategies is that they help organizations to disseminate information to raise awareness of a certain issue and consequently bring it to the attention of decision makers. Advocacy can therefore help to promote improvements in public policy and the formulation of new policies.

17   Advocacy also influences highly relevant aspects of the political environment including laws, budgets and policies, all of which are fundamental in the creation or restructuring of projects and programmes that directly influence the development of a community, country, region and so on.

18   Finally, as a strategic tool, advocacy creates transparent structures that allow groups to participate in decision-making processes, thus effectively promoting accountability.

2.1   What is an advocacy strategy?

19   An advocacy strategy is defined as "(...) organized efforts by citizens to influence the formulation and implementation of public policies and programmes by persuading and pressuring state authorities, international financial institutions and other powerful actors." (WOLA, 2002).

20   Formulating an advocacy strategy is a way to influence a process to ensure that those making the final decision have the necessary information and conviction to do so.

> Advocacy is a common theme in democratic theory since it is employed in processes in which groups of citizens exercise their sovereignty in an informed and active way. The goal of these groups is to engage in the decision-making process on issues that are fundamentally in the public interest because these issues affect or interest them.

2.2   Why is an advocacy strategy important?

21   An advocacy strategy promotes the participation of groups, institutions or organizations external to the authorities in the decision-making process. These groups are often not involved in making the final decision, but they can influence the final result. This means that an advocacy strategy is the ideal tool to democratize and socialize the decision-making process. The strategy's importance therefore partly lies in its demonstration that power is not exclusively wielded by those holding political office, but also by organized groups of citizens and institutions with an interest in public issues.

22   Some aspects demonstrating the importance of advocacy are presented below.

Helps to resolve specific problems through concrete changes in policies and public programmes	Many organized groups pursue change in different economic, social, political and cultural realities. Through advocacy, "(...) they can channel their efforts towards solving specific problems within these complex realities, formulate plans and implement strategies and actions to reach concrete solutions" (BioAndes, 2008).
Strengthens and empowers civil society	Creating alliances and building relationships at regional and national level strengthens social organization as well as strengthening and empowering civil society. Consequently, advocacy "(...) does not only help to solve concrete problems, but also jointly strengthens the group or "coalition" and provides a greater scope for it to focus its efforts in relation to public policy" (BioAndes, 2008).
Seeks to promote and consolidate democracy	By strengthening citizen participation in decision-making relating to public policies and programmes, it also seeks to promote a culture of political transparency. The achievement of this leads to a more democratic model of power relations between state institutions and citizens.

Figure 1 — Aspects demonstrating the importance of advocacy
Prepared by the author with information available in (BioAndes 2008)

2.3   Why engage in advocacy?

[23] Citizens are motivated to organize and engage in politics for certain reasons. The most important of these are:

— an absence of good policies relating to a problem affecting the population (poverty, health, education, etc.);

— policies that affect certain sectors of the population, for example, traditionally marginalized groups;

— existing policies not being enforced.

3 PRELIMINARY PHASES IN ADVOCACY

3.1 Identifying and analysing the problem

24   The first step in planning for advocacy is identifying the problems to be addressed. For this purpose, it is useful to individually examine each of the main issues that require attention, prioritize them according to their importance in the communications strategy and demonstrate their relative importance for the sectors involved.

25   A comprehensive understanding of the problem is essential in advocacy work. Genuinely rational arguments and reasons to support them can only be generated through research.

26   Research should therefore be conducted before choosing the problem to be addressed by the advocacy strategy, since this adds credibility to positions adopted. Research provides the information needed to formulate a good plan, create messages and engage in lobbying activities.

27   In this respect, (CARE 2001) states that addressing problems requires in-depth knowledge about their underlying causes. It is easier to design solutions with high potential impact if the problem is well understood. The following matrix provides some basic aspects to give a general idea of how to take the first steps in research before identifying a problem.

Table 1 — Basic tool to plan an investigation of high infant and child mortality in Macondo
(Macondo is a fictional town described in the novel One Hundred Years of Solitude by Gabriel García Márquez.)

Issue to be researched	Sub-issue to be researched	Information source	Data collection methods	Individual in charge and deadline for presenting information
High infant mortality in children under the age of one in Macondo				
What statistical data are associated with infant mortality rates in children under the age of one in Macondo?	What is the infant mortality rate in Macondo?	National census and statistics authority/ institutions connected to the health sector	Literature review on the issue	
	What are the main causes of death for children under the age of one in Macondo?	National census and statistics authority/ institutions connected to the health sector/ specialists	Literature review on the issue/ interviews with specialists	
	What are the reasons for the causes of death in children under the age of one?	National census and statistics authority/ institutions connected to the health sector/ specialists	Literature review on the issue/ interviews with specialists	

28   Notice that **Table 1** uses certain basic questions to help advocacy workers to understand the phenomenon itself, and not just its end results. It is not always easy to know where the root of a problem lies. However, the information collected will provide a starting point for the development of the advocacy strategy, hence the importance of knowing the information sources and choosing the most adequate research methodology.

29   In some cases, the policy information needed is already available, and a formal analysis is not required. However, other situations require more in-depth research. In most cases, it is useful to have both types of information: primary and secondary information.

30   Once advocacy workers have an in-depth knowledge of the phenomenon to be influenced, it is possible to start structuring a strategy. (CARE 2001) demonstrates that this initially involves three main activities: 1) identifying advocacy issues; 2) identifying key actors and institutions with political power and their interests; and 3) analysing the policy environment.

31   With respect to the first element, it is important to remember that organizations working in advocacy and policy makers generally use the term "issues" to refer to policy causes of problems. According to (CARE 2001), these issues may include the absence of a policy, an adverse

or inadequate policy or the improper enforcement of a policy. This initial research process will provide the tools required to identify the political causes of the problem.

Advocacy issues are policies which a group wishes to create, change or implement.

32   For example, an individual in charge of formulating an integrated water resources management program who wants to identify water policy issues that affect citizens could ask the following questions:

Table 2 — Basic questions to identify advocacy issues

Question	Answer	The issue comes from...	The advocacy strategy focuses on...
Do national policies promote integrated water resources management?	No	The absence of adequate policies on integrated water resources management	Establishing policies
Do current policies provide obstacles to integrated water resources management?	Yes	Policies blocking integrated water resources management	Changing policies
Have policies promoting integrated water resources management been appropriately implemented?	No	Policies promoting integrated water resources management have not been enforced	Implementing policies

33   (WOLA 2005) explains that issues can sometimes be identified easily if the cause or fieldwork is known. However, it is sometimes necessary to conduct research with a greater scope, which considers legal aspects such as laws and regulations or political aspects such as government plans related to the advocacy issue. It is important to remember that in some cases a review of documents may not be sufficient and that it will be necessary to interview representatives from governments, businesses or other actors to learn more about the issue in question.

34   Linking the issue to the people affected also helps increase the strategy's impact. A policy analysis should therefore point out the problem, specific policy causes and the people affected. The following matrix returns to the Macondo example and applies the points mentioned above.

Table 3 — A policy analysis matrix for water pollution in Macondo

What is the problem?	High infant and child mortality rate in Macondo due to high prevalence of diarrhoea.
Who does it affect? Where?	Children younger than one from remote rural areas. Children drink contaminated water from rivers.

Do any policies exist for ensuring the quality of water?	There are no policies that regulate what private companies are allowed to dispose in rivers. Policies have been proposed and discussed by several administrations, but none have been approved. Environmental policies are not viewed as a priority by the current administration. There are also no programmes or significant government funds to build water systems for rural and poor communities.
Do any policies adversely affect the quality of water?	There are no policies that adversely affect the quality of water. The main policy cause is lack of policies, i.e. no regulations for ensuring safe water sources and no programmes to promote safe water in rural and remote communities.
Which programmes promote or restrict access to safe water?	Since there are no policies in place, policy enforcement is not an issue.

35 Secondly, as mentioned above, the actors and institutions holding political power should be identified before the strategy is formulated. According to (INCIDE 2012), actors may be individuals or groups. (Campillo Carrete et al 2010) explain that this kind of analysis involves identifying individuals who make decisions on the policy in question, as well as those who may influence decision makers. In other words, it is important to distinguish between primary and secondary actors.

36 Primary actors are authorities with the power to make decisions on the problem that interests us. Primary actors may include politicians and technical teams. Secondary actors are those who do not make decisions directly, but who have influence over primary actors, or those making the decision. These actors can be civil society groups and other authorities.

37 Furthermore, (CARE 2001) adds that it is important to determine whether actors support or oppose specific policies, as well as their degree of influence, their resources and their interests in an issue. It is important to identify policymakers and analyse their interests when developing an advocacy strategy.

> It is important to identify policymakers and analyse their interests when developing an advocacy strategy.

38 Finally, the research phase of an issue ends with an analysis of the policy environment to determine whether or not it is ripe for change. As (CARE 2001) points out, this type of analysis helps advocacy workers to assess whether policy changes are likely to be successful or not.

39 An analysis to formulate an effective advocacy strategy can be carried out in different ways. One tool that may be employed is the Research and Policy in Development **(RAPID)** approach, which helps advocacy workers to identify actors and institutions with political power and their interests, as well as analyse the policy environment. The following matrix, formulated using the RAPID approach, summarizes the aspects addressed so far and proposes key ideas on what advocacy workers need to know and do, and how to do it.

Table 4 — Using the RAPID framework to analyse an advocacy issue *(Court et al 2006)*

What researchers need to know	What researchers need to do	How to do it
Political Context — Who are the policymakers? — Is there policymaker demand for new ideas? — 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 policymakers, their agendas 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 the policymakers. — Seek the relevant commissions. — Line up research programmes with high-profile policy events. — Reserve resources to be able to move quickly to 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 policymakers? — What are the prevailing narratives?	— Establish credibility over the long term. — Provide practical solutions to problems. — 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. — Action-research and Pilot projects to demonstrate benefits of new approaches. — Use participatory approaches to help with legitimacy and implementation. — Clear strategy for communication from the start. — Face-to-face communication.
Links — Who are the key stakeholders?What links and networks exist between them? — Who are the intermediaries, and do they have influence? — Whose side are they on?	— Get to know the other stakeholders. — Establish a presence in existing networks. — Build coalitions with like-minded stakeholders. — Build new policy networks.	— Partnerships between researchers, policymakers and policy end-users. — Identify key networkers and salesmen. — 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. — Keep an eye on donor policy and look out for policy windows.	— Develop extensive background on donor policies. — Orient communications to suit donor priorities and language. — Cooperate with donors and seek commissions. — Contact (regularly) key individuals.

40   Once all information has been collected and the activities described above have been conducted, it is useful to summarize the analysis. (CARE 2001) and (WaterAid 2007) agree that problem tree analysis is a useful technique for synthesizing and visualizing the results.
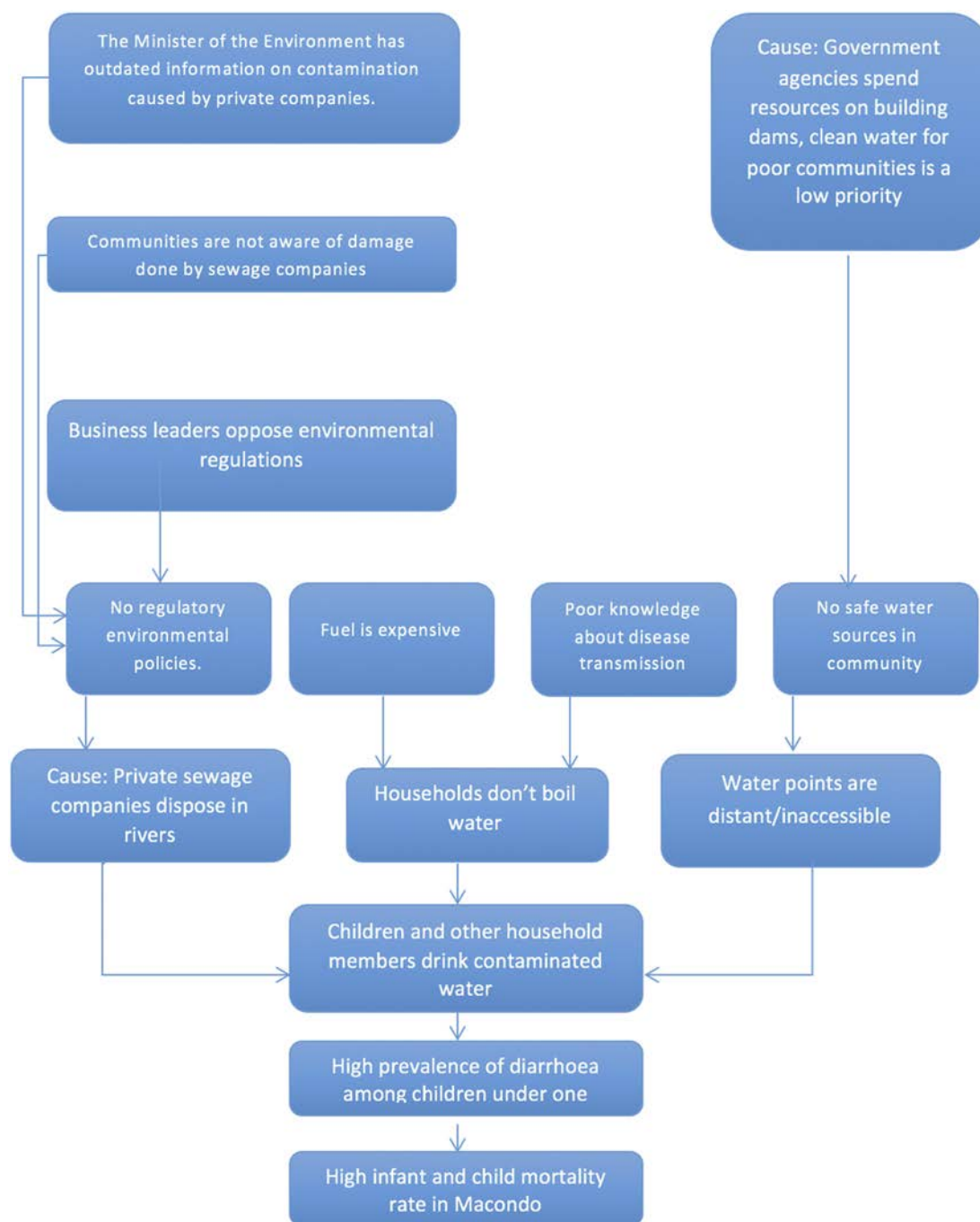

Figure 2 — Problem tree analysis for infant and child mortality in Macondo *(CARE 2001)*

41   A policy analysis should help advocacy workers to identify options for policy change and determine the impact they may have on the problem. It is not necessary to choose between issues at the policy analysis stage, but rather identify which changes would yield the desired result.

42   In order to identify options clearly, it is useful to list all advocacy issues and describe what changes would have to take place to have an impact on the problem identified. If the analysis includes strong causal links between advocacy issues and the problem, then a change in any of the identified issues should yield an impact on the problem to be solved.

3.2   Selecting the advocacy issue

43   To recap, an advocacy issue is a problem or situation requiring measures to be taken to solve it. Lines of action, strategies, influence and power maps, the decision-making process and other components forming part of an advocacy plan (see **Section 4.5**) will be applied to the issue identified as a priority for advocacy.

44   It is important to remember that the issue requires in-depth analysis to decide how to influence it and which interested parties are in the best position to exert this influence. There are different ways of analysing an issue, but all point to the same thing: separating the issue into smaller parts. This helps advocacy workers to understand the issue and the context in which it occurs, and how to work towards change.

45   As analysed in the example of infant and child mortality caused by contaminated water in Macondo, it is common to identify several policy causes or issues. However, it is not possible to address them all, so it is necessary to choose an issue on which the advocacy initiative will focus.

46   According to (CARE 2001), several criteria can help in the selection of an advocacy issue, but these criteria will often need to be adapted to the specific concerns unique to the setting.

47   Regarding the relative contribution to the problem, it is important to remember that some causes or issues contribute to problems more than others. This demonstrates the importance of analysing policies: in principle, this analysis should help advocacy workers to determine the extent of influence or weight a particular advocacy issue has on a problem.

- Relative contribution to the problem
- Potential impact on a large number of people
- Likelihood of success
- Potential for working in coalitions
- Potential risk
- Potential to advocate effectively

Figure 3 — Key criteria for selecting among different advocacy issues *(CARE 2001)*

48   Addressing advocacy issues that affect a large number of people will expand the scope of impact. Compared to other types of causes, advocacy issues usually have an effect on a large number of people. It is therefore useful to focus on the policy change that is most likely to benefit the most people.

49 (CARE 2001) also explains that it is important to consider whether an advocacy effort targeted at policy change is "winnable." A policy environment that is "ripe for change" is more likely to result in successful advocacy initiatives. Assessing the level of opposition faced by the initiative and analysing whether the time is right to exert political influence are key considerations in selecting an issue.

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 water supply and sanitation 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 water supply and sanitation coverage within Ghana, slow progress towards the MDG target for the sector and huge finance gaps. The links between water supply and sanitation 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 water supply and sanitation 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 organizations, including WaterAid in Ghana, for the input made.

Figure 4 — Getting the timing right in Ghana by WaterAid (WaterAid 2007)

50 In addition to the above, (Campillo Carrete et al 2010) explain that the ability to influence policy may be substantially increased when working in conjunction with other partners and allies. Opportunities for working with local and international partners and allies should therefore be taken into account when selecting an issue. Organizations may also learn from their partners in advocacy since many other organizations are better positioned to understand the political environment, risks, and opportunities. Importantly, WaterAid's experience in Ghana also exemplifies how working together benefits the coalition's common interests.

51 Another vital aspect in selecting advocacy issues is analysing whether or not the potential risks are acceptable. According to (CARE 2001) staff, communities and partners, and changing relations with the government, which may affect other programmes.

52 Finally, it is important to consider the organization's capacity to advocate for a particular issue and assess whether or not it is the best advocate for this issue. It is therefore useful to ask questions such as: What are the team's major strengths and weaknesses regarding engagement in a particular advocacy issue? Would others be more likely to effectively achieve change? What experience does the organization have in relation to this issue?

53 Returning to the Macondo example, after analysing the policies, two potential issues were identified in relation to the problems of infant and child mortality. The following matrix **(Table 5)** is an exercise in selecting an issue and incorporating the criteria described above.

54 The first column lists a series of criteria according to which the advocacy issues are evaluated. Using the tree to order problems logically helps advocacy workers to identify the causes of the problems to be solved: the potential advocacy issues. Consequently, once the potential issues have been defined and evaluated according to the criteria in the matrix, there is a much clearer idea of what needs to be done and advocacy workers can avoid dedicating energy to initiatives that lack the right environment for goals to be achieved.

Table 5 — Matrix assessing the advocacy issue *(CARE 2001)*

Criteria	Issue I: No environmental policies that regulate private companies	Issue II: Government agencies spend resources on building dams, water for poor communities is a low priority
Relative contribution to the problem	Data from research studies conclusively demonstrates link between environmental pollution done by sewage companies, contamination of water sources, diarrhoea prevalence and infant and child mortality rates.	No agreement among experts about the extent to which governments' water policies affect infant and child mortality rates.
Potential impact on a large number of people	Surveys show that diarrhoea accounts for one-third of deaths among infants and children.	Surveys show that diarrhoea accounts for one-third of deaths among infants and children.
Likelihood of success	The general public is aware of environmental damage to rivers and lakes; many articles have appeared on the press on this issue. Minister of the Environment moderately supports environmental policy reform.	Unlikely that government officials will shift their priorities, building dams is much more profitable.
Potential for working in coalitions	ECO-ACTION, a coalition led by the two most important environmental groups, has been recently created.	No coalitions on this issue.

Criteria	Issue I: No environmental policies that regulate private companies	Issue II: Government agencies spend resources on building dams, water for poor communities is a low priority
Potential risk	Low risk. Environmental issues are widely discussed in the media and other fora.	Addressing this issue could be risky since many high-ranking government officials are involved in construction of dams for provision of electricity to Macondo and neighbouring countries.
Potential for organization to advocate effectively	The organization's maternal and child health projects are well known in Macondo. The organization provided assistance to the Ministry of Health for carrying out the latest national health survey, which includes data on diarrhoea prevalence and infant and child mortality rates.	Water and sanitation projects are relatively low-scale; not one of the organization's most important sectors in Macondo.

55   It is crucial to understand that handling objective information and trustworthy, up-to-date data can be a decisive factor in the success or failure of an advocacy campaign. It is therefore appropriate to target gaps in information and/or research tasks which arise at each stage. This list can then be incorporated into the plan of activities to determine the resources needed and individuals responsible for obtaining this information.

3.3   Selecting and analysing target audiences

56   The decision-making process excludes some individuals and institutions from the anticipated changes. Some people will be in favour and others will be against these changes. Policy changes create a redistribution of power, which inevitably causes political conflicts that should be anticipated and that require strategies to be formulated. This step helps advocacy workers to classify actors into adversaries, defenders, undecided persons and neutral persons, and to establish strategies to persuade undecided and neutral persons and hence increase the number of defenders of the issue.

57   It is important to formulate a strategic communications plan in relation to the target audience. This involves creating programmes designed to influence the behaviour of a particular audience to increase their support for the advocacy issue. As described later, a communications strategy is vital for tackling policy changes. The way messages are transmitted may help to control conflicts arising because of cultural, social, structural or personal barriers.

58   (CARE 2001), (WaterAid 2007) and (LACCASO 2007) agree that there are two kinds of audience: primary audiences and secondary audiences. Primary audiences are those with the direct authority to make policy changes (for example, the Minister of Agriculture and parliament members).

Informing or persuading the primary audience about an advocacy issue is the centrepiece of any advocacy strategy.

59   (LACCASO 2007) explains that secondary audiences are those people who can influence the decisions of the primary audience. Secondary audiences are important because they can provide a way to reach the primary audience that may otherwise not be directly available. Knowing the audience is fundamental when formulating an effective advocacy strategy.

60   Returning to the Macondo example, three factors contributed to a lack of environmental policy: business leaders' opposition to environmental policies, the government's poor information on pollution risks and the lack of awareness in communities about the damage caused by private companies. Below is an example problem tree to help advocacy workers identify the types of audience.
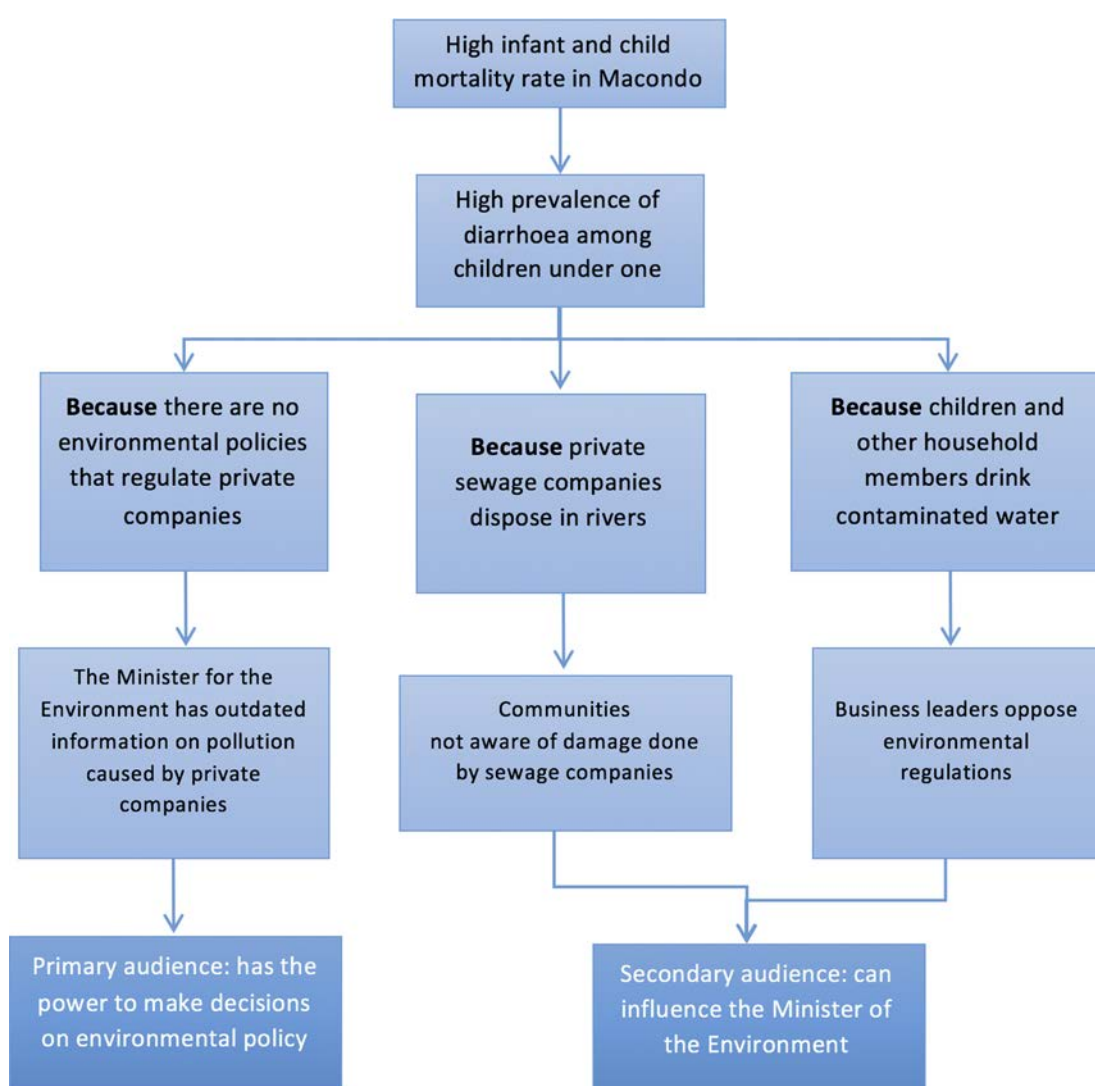
Figure 5 — Identifying different types of audience
(Prepared by the author using data in CARE 2001)

61   Once audiences have been identified, the next step in planning an advocacy strategy is defining its goals. The following section provides details on some elements of this issue.

3.4   Setting strategy goals

62   Like any other programme or project, advocacy initiatives require clear and specific goals. When goals are vague, they can be interpreted differently and it is difficult to assess whether or not they have been met. According to (LACCASO 2007), the SMART analysis can help to ensure that advocacy initiative goals are: specific, measurable, achievable, realistic and time-bound.

63   (LACCASO 2007) states that goals should clearly indicate what will change, who will make that change, over what time period and by when. It is also important that advocacy goals include policymakers who may be able to create, change or implement a policy. When goals are vague and ambiguous, it is difficult to clearly understand what is to be achieved and it is hard to maintain focus. This also makes it difficult to evaluate efforts.

64   It is important to remember that there are two kinds of goal in an advocacy strategy, as shown in **Figure 6**. The first kind is an impact goal, which is a goal that generates a policy change and may lead to improvements in aspects such as quality of life. The second is an effect goal, which means a "change in behaviours or systems".
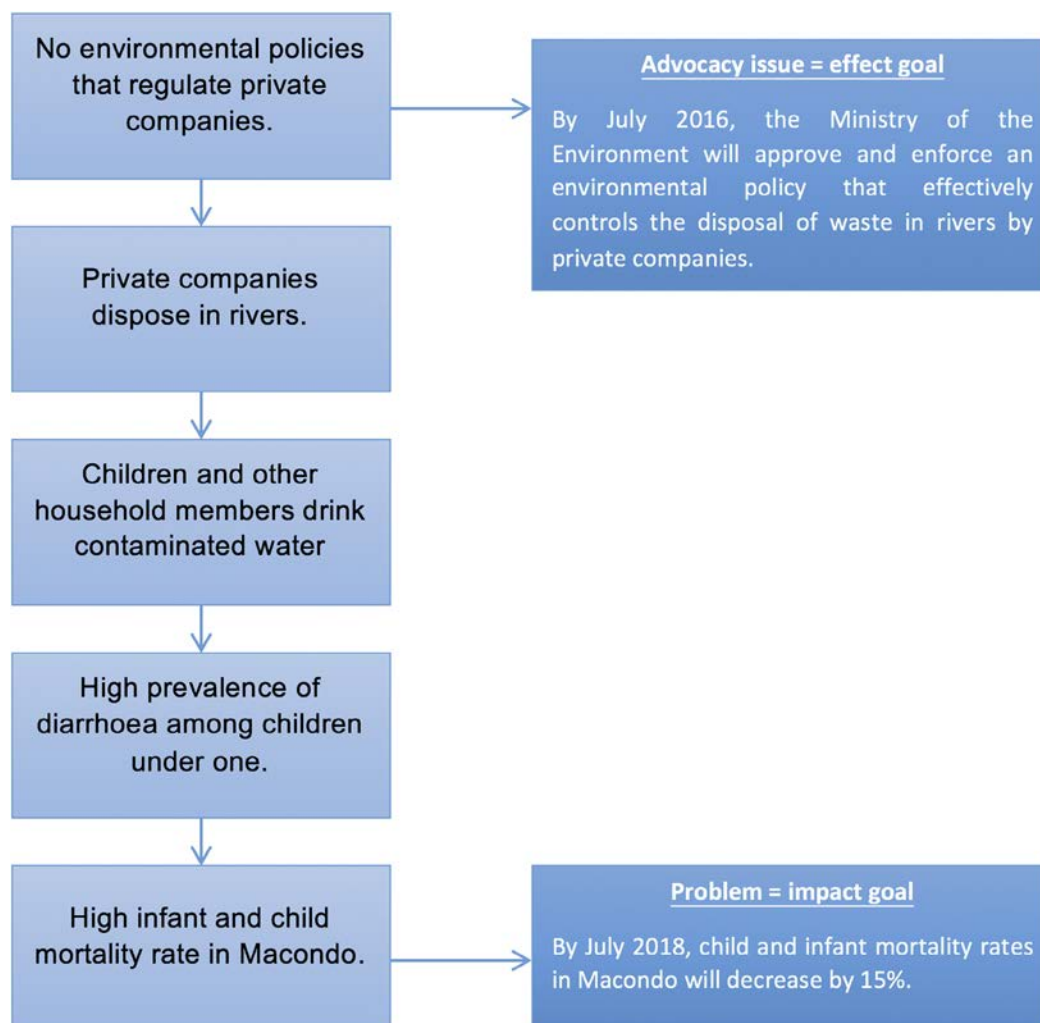
Figure 6 — Effect and impact goals for the Macondo case
(Prepared by the author based on the example in CARE 2001)

Examples of SMART goals in advocacy:
– Convince the Ministry of Education to adopt a national programme to promote hygiene as part of the primary and secondary curriculum for all school-age children within a time frame of 12 months.
– Increase sanitation funding by 50% in the five poorest districts within a time frame of 18 months.

Examples of advocacy goals which are not SMART:
– Promoting hygiene education in schools
– Promoting sanitation use in poor communities

65

To recap, once the advocacy issue and the type of audience to be targeted have been identified, as well as the policy goals (impact and effect), it is possible to construct a matrix to summarize and visualize the plan so far **(Table 6)**.

Table 6 — Outline of an advocacy strategy for Macondo
(Prepared by the author based on data in CARE 2001)

Advocacy issue	Lack of environmental policies that regulate private companies and control contamination to rivers by these companies
Primary audience	Minister of the Environment
Secondary audiences	Business leaders; Macondo community representatives
Impact goal	By June 2018, child and infant mortality rates in Macondo will decrease by 15%.
Effect goal	By June 2016, the Ministry of the Environment will approve and enforce an environmental policy that effectively controls the disposal of waste in rivers by private companies.

4 FINAL PHASE IN THE FORMULATION OF THE ADVOCACY STRATEGY

4.1   Channels of influence: analysing decision-making spaces

66   According to (Sirker 2002), having an analysis framework for channels of influence contributes to the advocacy process because it helps answer the following questions:

— Which organization or person in charge of formulating policies will make the decision to be influenced?

— What is the formal decision-making process in this institution?

— What formal steps need to be taken?

— Who are the key decision makers at each stage?

— At what stages of the process is it possible to exert influence?

— How can influence be exerted at these stages?

67   The (Guía de incidencia política para organizaciones de la sociedad civil 2012) states that different public services often participate in decision-making. A detailed understanding of the process, meaning understanding the whole chain of decisions link by link, is therefore important: in other words, knowing exactly how the pie is sliced.

> Analysing the decision-making space consists of identifying who has the power to approve or reject the proposal and what process is used to make this decision.

68   It is also important to find out whether citizens have any opportunities to participate in this decision-making process. For example, the public service making the decision may have an advisory board for civil society to address the problem in question among other issues.

69   **Example:** If a draft law is being discussed in the lower chamber of parliament, it does not make sense to approach the higher chamber, except as an ancillary influence strategy. It is necessary to identify the exact space in which the solution could be selected. The following diagram covers the most important aspects to consider in relation to decision-making spaces.

Decision-making spaces

Place:	Actor:	Process:
where is the decision made?	who is making the decision?	how and when is the decision made?
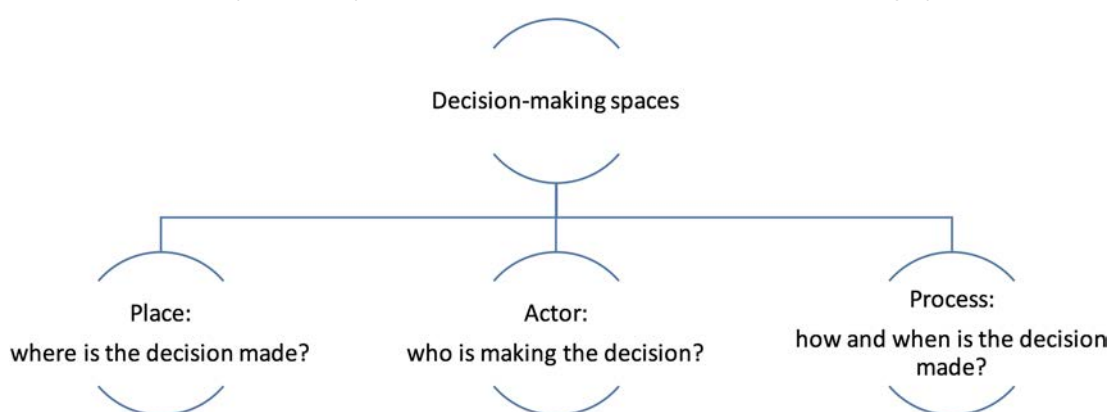
Figure 7 — Components of decision-making spaces
(Prepared by the author)

70   Similarly, in relation to channels of influence, the (Basic Advocacy Manual 2002) stipulates that when analysing the decision-making space to be influenced, the following questions should be asked:

A | Who exactly has the power to make decisions on the proposal (decision-maker)?

71   Organizations frequently launch proposals or approach actors without identifying who really has the decision-making power. For example, they often urge the legislative assembly to approve a law without identifying the members of Parliament yet to achieve the necessary number of votes, or they hold a public demonstration in front of the presidential palace instead of identifying the president's key advisor.

72   The question here is who, at this point in the advocacy campaign, has the formal and/or real authority and power to make the decision; in other words, who can say yes or no to the proposal? This person (or group of people) is called the "decision-maker".

73   As stated in the (Basic Advocacy Manual 2002), "sometimes the person with the formal authority to make decisions is not the person who really has the power. For example, a member of parliament in the legislative assembly working group has the formal authority to vote as he wishes on a draft law, but in practice, his party chief whip decides how he will vote. On occasions such as these, both individuals should be considered decision-makers." The "decision-maker" could also be the individual with the formal power and the "key actor" could be the individual with the real authority.

> **Remember:** All decision-making spaces and scenarios feature one or more individuals with the power to make public policy decisions for their organization. It is important to remember at this stage that this power is not always exercised by a single person. Sometimes the real power and the formal authority are held by different individuals.
>
> There are therefore two options: name both as decision makers or call the individual with the formal authority the decision maker and the individual with the real power the key actor.

B | What process is used to make the decision?

74 When analysing governmental or institutional decision-making processes, it is important to distinguish between formal and informal procedures. The formal procedure is the official process according to national law or institutional bylaws. The informal procedure, on the other hand, is the set of activities and processes occurring in parallel to the formal procedure which are not determined by law or official policy.

> **Remember:** It is crucial to have an in-depth understanding of the decision-making procedure of a certain body or space. An advocacy strategy will have more chances to intervene in more relevant ways if the way decisions are made in a certain space are understood.
>
> The following questions need to be asked in this regard: how and when is a decision made? Is a specific meeting being organized to make the decision? How do the committees, departments, councils and other working groups operate? How do they add issues to the agenda?

75 In many cases (for example, in the legislative assembly) there are complicated formal procedures that should be understood for the purposes of influencing the decision-making process.

> **Example:** If a proposal requires a law to be passed, it is necessary to understand how the legislative assembly in the country works as well as the law creation process, including:
> – how the legislative assembly working groups operate;
> – identifying who has the power to propose a law;
> – voting methods for different kinds of law;
> – how the legislative agenda is set;
> – the source of the votes needed for the proposal to succeed.

76 It is also important to understand the informal procedures involved. For example, is the person presiding over the legislative assembly influenced by an advisor or group of professionals and do they meet to discuss policy?

C | How is decision-making scheduled?

77 Scheduling the agenda of the decision-making space is also important. Sometimes there will be a special meeting held or a particular time of year set aside to make decisions: for example, when making decisions in reference to the national budget. Scheduling is especially important when there are deadlines involved.

D | Are there any agreements, laws or regulations forming the decision-making framework?

78   Decisions often need to consider provisions of other national laws and international treaties. It is therefore important to have an in-depth understanding of the legal decision-making framework.

> **For example:** "If a proposal deals with matters of law, advocates must understand not only the legislative process but also the overall budgetary process" (CEDPA and WOLA 2005)

E | The power map: identifying allies and opponents

79   In addition to the individual with the power to make decisions on an advocacy campaign's specific proposal, there are several actors (individuals, organizations, institutions) with some level of interest in the proposal and the power to influence the final decision. Analysing this universe more closely through a power map allows advocacy workers to more precisely identify the key actors in a campaign.

> Creating a power map is an exercise that helps advocacy workers to identify key actors and their level of positive or negative influence on the decision-making process relating to the proposal.

80   This universe usually includes political, economic and social actors representing a wide variety of interests. It is important to analyse these interests when creating a power map because they ultimately determine the key actor's position on the proposal. Constructing a preliminary matrix (see **Table 7**) helps advocacy workers to reflect and create a clear and complete power map, as shown in **Figure 8**.

Table 7 — Preliminary matrix for a power map *(Sirker K. 2002)*

I. Main actors	II. Institutions	III. Key individuals	IV. Opinions or perspectives on the issue
National government			
Regional government			
Local government			
Businesses			
Media			
Political parties			
NGOs			
Community groups/ associations			

81   When producing a power map, it is important to remember that the key actors' power to influence comes from different sources. Individuals or groups may influence the decision maker because of their economic power, ability to mobilize social groups, access to the media,

moral authority or their political or religious affiliation. In all cases, each individual is motivated and influenced by personal, political, economic and social interests.

82 As stated in the (Basic Advocacy Manual 2002), when analysing the interests and motivations of key actors, it is useful to first reflect on their more general characteristics and interests, including their level of education, political leanings, their self-image and ambitions, among other things. Their interests and motivations in relation to the proposal can then be analysed, and arguments they are likely to raise to justify their position on the proposal can be anticipated using this information. These reflections may be presented in a matrix, as shown in the example in **Table 8**.

Table 8 — Matrix to analyse the power map in relation to the contamination of water in Macondo

Actor	Environmental policy decisions formally controlled	Activities that affect policies	Degree of influence on policies	Degree of support for regulating private companies	Motivating interests	Resources
Minister of the Environment: Mr Ran	a. Proposes environmental policies.b. Allocates and controls Ministry resources.	a. Translates policy into programmes. b. Negotiates with foreign donors. c. Delivers public speeches. d. Discusses issues with the president.	High	Moderate support	a. Strong ties to the legal community. b. Has mentioned the environment in speeches.	High status authority, lower economic resources, medium information.
Minister's advisor: Dr Fodar	None	Provides advice to Minister.	High	Unknown	a. Mainly an agriculture expert. b. Has been a children's advocate.	Minister trusts advisor's judgement, high status within administration.
Leaders from LDP political party	Few: minority in Parliament	Give or withhold political support to government.	Low	Support	Opposed industry interests on other environmental issues	Medium authority.
Most powerful business leaders: Ms Galo and Mr Amart	None	a. Threaten to withhold support for government. b. Promote policies that favour business interests.	High	Strongly oppose	Both have actively opposed environment laws in politics.	High economic resources.

Actor	Environmental policy decisions formally controlled	Activities that affect policies	Degree of influence on policies	Degree of support for regulating private companies	Motivating interests	Resources
Environmental organizations: Green and SVD	None	a. Issue press releases to the media. b. Raise awareness among the public about the consequences of environmental pollution.	Medium	Strongly support	a. Both have strong support in Macondo. b. Some political connections to legislature.	Low economic resources, high information and legitimacy with the public.
Macondo's community	None	May be mobilized when informed about how private companies affect quality of water and health of children.	Low to medium	Support	Environmental organizations have a coalition based in Macondo.	Low information and economic resources.
World Bank	None	Gives loans and grants for environmental projects.	High	Support	Industrial pollution is part of this year's global agenda.	High economic resources, medium authority.

83   The following step consists of classifying key actors into allies, undecided persons and opponents, according to their interests and their position on the proposal. In this exercise, it is crucial to remember that an ally in advocacy is not simply a good person or someone who fully sympathizes with the organization, but an actor who supports and has an interest in the specific proposal put forward. The same can be said for undecided persons and opponents. As an example, the following matrix offers information on how to classify actors.

Table 9 — Analysis of key actors' positions
Based on data in (CEDPA and WOLA 2005)

Key actor	Classification	Interest in the proposal	Arguments or strategies in relation to the key actor
	Classify key actors into allies, decision makers, opponents, undecided persons, etc.	Consider whether interests are political, partisan, personal, economic etc.	

84   The importance of having a good power map should be emphasized, since it helps organizations to:

— identify key actors and their level of influence/power, whether positive or negative, as well as actors with an interest in the issue in question;

— classify the different actors from each institution or organization into allies, opponents or undecided persons;

— assign priority to allies, opponents or undecided persons, depending on their level of interest and influence;

— make a note of the different actors' knowledge, beliefs and feelings about a certain subject;

— highlight what is known and not known about the impact of the change on the issue in question.

85   Finally, to formulate a power map, the interested parties and actors affecting the advocacy issue should be classified as shown in the example in **Figure 8**.
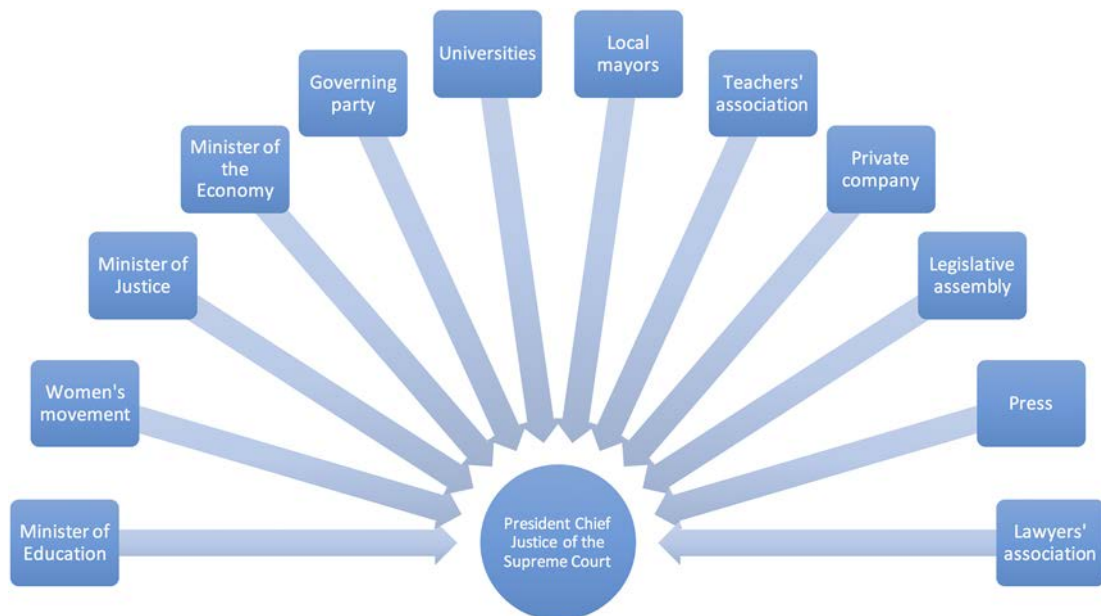
Figure 8 — Example power map
(Prepared by the author)

F | Final suggestions for the power map

86   According to the (Basic Advocacy Manual 2002), the power map exercise should be carried out in relation to a concrete advocacy proposal and not from a general perspective. If the proposal is modified, the person with the power to make the decision is likely to change, and if the decision-maker changes, the other key actors with the power to influence the decision maker also change.

87   The power map is always subject to modification in response to changes in circumstances, changes in the decision maker, access to new information on key actors and so on. These changes mean that the power map needs to be updated regularly.

4.2 Identifying allies and forming coalitions

88   Having allies is critical for an advocacy initiative for several reasons. Firstly, it raises awareness of the issue. Secondly, the impact of efforts can be increased through collaboration with other individuals or organizations interested in the same issue. Finally, a sort of economy of scale can be achieved by bringing together the resources and skills of several organizations and individuals.

89   It is important to remember that, in most cases, the alliance relates to a particular issue. Consequently, once its goals have been achieved, the alliance or coalition may cease to exist or may continue to address other issues. A sort of association is created in the latter case.

> Forming a coalition means creating a group of organizations that work together in a coordinated fashion toward a common goal.

90   **The coalition as an instrument of work:** In advocacy, a coalition's goal is policy-related. Forming an alliance involves a series of steps. Firstly, other organizations, groups and individuals interested in or already advocating for the same issue should be identified. Secondly, it is necessary to identify whether alliances and coalitions with these actors already exist or if they need to be established. Next, the roles to be performed by these organizations should be defined, and finally, it is important to establish what each party expects to gain from their contribution. An alliance implies that each party will gain something from their contribution and this largely depends on the partners' view of each other or their view of the organization seeking to generate a policy change.

91   There are many good reasons to form alliances. For example, it is an effective way to mount advocacy campaigns: by bringing together organizations or individuals with different expertise or experience, advocacy alliances are able to carry out a more wide-ranging set of advocacy actions.

92   Constructing alliances presupposes a number of things, including sharing some targets, values and interests. This does not necessarily mean that they are the same, but they should complement one another. The most important thing is working towards a common goal or activity.

> **Example:** Formulating a public policy to strengthen grassroots organizations - Forming alliances
>
> Possible actors that could participate in the alliance:
> – universities;
> – district authorities (local government);
> – NGOs;
> – grassroots organizations.
>
> (J. Cuéllar and M. Flórez, 2012)

93   There are many different kinds of alliance. What they have in common is that they link individuals and organizations that share common values and concerns. Alliances may be short- or long-term: a short-term alliance may involve groups coming together to lobby on a particular issue for a specific time only, then going back to working separately when that time is complete.

94   A number of factors influence whether or not an alliance will be successful. One of these is how representative the alliance is, meaning whether it gives equal weight to voices of all partners. This is vital for legitimacy and therefore the influence of the alliance. A second element is influence itself. Alliances must include organizations and/or individuals with the power and influence to get things done in the policy arena. A third element is communication in networks: partners need to be able to communicate easily, so information technology links are vital, as well as face-to-face opportunities. In general, it is very important that members of an alliance do not just contribute to but also benefit from the relationship.

4.3   Identifying opponents

95   Another part of refining an advocacy strategy is finding out who may oppose the goals set. This is just as important as identifying allies. A strategy will be more effective if attempts are made to understand opponents' reasoning and why they might feel threatened by the proposed policy change. For example, an initiative that seeks changes in policies related to family planning may encounter the opposition of religious leaders.

96   When identifying opponents, three basic questions should be asked: are there any organizations, groups or individuals that oppose the proposed policy change? What threat do these organizations, groups and individuals pose to the success of the advocacy initiative, and how much power do they have? What can be done to reduce the influence of these opponents?

> In this process, knowing that the classification of actors is linked to their interests, the following should be considered when identifying opponents:
>
> – one or more actors opposes the proposal because they do not agree with its values;
> – they could also feel that it is a zero-sum game (in which they believe they will be the losers);
> – they could oppose the change from an ideological standpoint.
>
> Once this has been analysed, levels of opposition should be assessed and classified into categories.
>
> (J. Cuéllar and M. Flórez, 2012)

97   An advocacy strategy may also include messages targeted at opponents in order to persuade them and potentially change their opinions, or at least avoid a situation in which they roundly oppose the change pursued.

98   What needs to be known about opponents?
   — Why do they oppose the proposal?
   — How much of the proposal do they actively oppose?
   — How much power do they have (money, political power, social status)?
   — What are their interests?

— Do they have influence over anyone, and if so, who?

— Can an agreement be achieved in any area?

4.4   Finalizing the advocacy strategy

99   Once an advocacy goal has been chosen and target audiences, allies and opponents have been identified, it is necessary to progress towards implementation. CARE's (Advocacy Tools and Guidelines, 2001) proposes three fundamental aspects regarding implementation.

— Select an advocacy role. This can involve a very visible, public approach or work to be carried out behind the scenes. For example, one option could be to document problems for policymakers.

— Identify key messages. An advocacy message is what advocacy workers want target audiences to hear and specifies the policy change they would like target audiences to support.

— Define advocacy activities. Advocacy activities are the steps taken to convey messages to target audiences.

4.4.1   Select roles

100   As mentioned, advocacy workers can choose to lead an advocacy initiative and directly and visibly inform policymakers on the proposed policy change or choose to support a coalition of other actors to advocate for the policy changes desired. The answer may not always be obvious and it is important to think carefully about it.

> **Choosing the most suitable role:**
> –   consider the available resources;
> –   analyse relationships with key actors, decision makers and the media;
> –   consider any experience with the issue;
> –   define the risk to be assumed;
> –   assess how influence can most effectively be exerted.

101   The role to be assumed in an advocacy initiative will depend on a mix of factors, including resources, relationships, any experience with the issue, the risk advocacy workers are prepared to assume and, most importantly, an assessment of how best to exert influence.

102   *Advocacy Tools and Guidelines* (CARE 2001) describes the different types of role.

— **Expert informant:** Provides technical advice and information to policymakers i.e. the primary audience. This role is suitable when analysis highlights that policymakers do not sufficiently understand and lack information on an issue. Relationships with government officials in implementing other programmes may be very useful in carrying out this role. The advantage of this role is the low cost and risk, especially when building on an existing relationship. For example, in country X, an expert that already has a relationship with the authorities can provide data and technical assistance to the Ministry of the Environment on the effects of floods on agricultural production.

− **Mediator:** As the name suggests, this individual or organization mediates between the different interests of various groups or individuals. They facilitate dialogue between actors with different perspectives on the basis of an objective analysis.

− **Lobbyist:** This role is direct; the lobbyist participates fully in an advocacy campaign and takes concrete steps to influence policy, either alone or in coalitions. This strategy involves formulating and presenting positions in public situations or meetings with policymakers.

> In addition to communicating the proposal to the decision maker, **lobbying** allows organizers to fine-tune the power map and evaluate the impact that the initiative's arguments and activities have on key actors.
>
> (CEDPA and WOLA, 2005)

103   An advocacy role for a specific issue will depend on target audiences and the relationships the advocacy worker has with these audiences, as well as on the communication norms of the communities in which they work. A good policy analysis will include information on the distribution of political power and the relationships between key actors in the policymaking or implementation process.

104   A wide variety of approaches can be adopted for each of the above roles. For example, a "public" approach can be adopted (e.g. using the media) or a "private" one, such as face-to-face meetings.

> **Characteristics of a lobbyist - A lobbyist can help to:**
> – persuade people with decision-making power to favour the proposal;
> – motivate allies to take concrete action in support of the initiative;
> – convince undecided persons;
> – convince opponents
>
> (Based on data obtained from CEDPA and WOLA, 2005)

105   It is also important to keep in mind that the chosen role will affect the mix of skills needed for the advocacy initiative. When playing an expert informant role, it makes sense to rely heavily on technical staff, with support from communications experts in packaging information for policy makers. If opting for an approach that requires negotiations with government officials, skills relating to lobbying and negotiation become more important.

4.5   Establishing an advocacy plan

106   This is the last step in planning an advocacy initiative. This step involves setting a timeline, preparing a budget and a logframe, and planning for monitoring and evaluation of the advocacy initiative.

107   Advocacy initiatives can be quite dynamic due to the volatility of changes in the political system and the fact that audiences are social conglomerates with interests that change depending on the circumstances. Advocacy initiatives therefore require continuous and careful monitoring, since the strategy will need to adjust according to the results of its implementation.

108   Flexibility is vital since valuable windows of opportunity often open suddenly. For example, a new government could assign more importance to the chosen issue in the new policymakers' agendas. This would therefore be the right time to act to achieve rapid change. In contrast, a policy that originally appeared to be easily changeable may encounter unexpected opposition and require a longer time frame than expected. Since policy environments are unpredictable, it is best to include extra time in planning to account for unanticipated events.

4.5.1   Prepare a budget

109   As stated in *Advocacy Tools and Guidelines* (CARE 2001), estimating the cost of an advocacy project can be difficult, especially for a multi-year initiative. More than with other types of programmes, midcourse corrections will occur and can sometimes lead to higher costs. For example, the initial strategy may not include a media campaign, but later, once implementation of the plan is underway, such a campaign may seem vital. A budget should be based on the advocacy strategy and activities planned (such as lobbying, media work, working in coalitions, mobilizing constituencies and so on).

Table 10 — Basic outline for a preliminary budget

Activities	Resources	Cost	Local source of funding	Fees	External source of funding	Fees	Potential external factors
Lobbying, working with the media, mobilizing	Human resources, material resources						

4.5.2   Prepare a logframe

110   Logframes are often mentioned as a useful tool in planning advocacy initiatives since they logically summarize the links between goals, outputs, activities and inputs. Logframes help to visualize the relationship between the goals of an advocacy initiative and the proposed activities for achieving those goals (see **Table 11**).

Table 11 — Example logframe matrix *(Universidad Autónoma de Occidente, 2007)*

	Narrative summary	Objectively verifiable indicators	Means of verification	Important assumptions
General goal or target				
Project goal				From project goal to general goal
Outputs				From outputs to project goal
Activities				From activity to output

4.6　Planning for monitoring and evaluation

111　The final, but essential, step in a good advocacy initiative is to formulate an action plan involving monitoring alone or monitoring and evaluation. It is important to plan monitoring and evaluation in the design stage of an advocacy strategy and not include it as an afterthought. A logframe can help to formulate indicators that can be used for monitoring and evaluating advocacy initiatives.

> What is 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".
>
> (WaterAid, 2007)

112　As discussed earlier, advocacy activities often need to be adjusted and revised. Such changes, however, should only be made on the basis of good monitoring data. For example, the political environment may have changed because of the election of a new government, or new events may have led to a change in opinion among the target primary audience.

> What is evaluation? Evaluation is "the periodic assessment of the relevance, performance, efficiency and impact of a piece of work with respect to its stated objectives".
>
> (WaterAid, 2007)

113　It is just as important to monitor activities and inputs as it is to monitor outputs. Data obtained through monitoring offer an opportunity to debate a policy change with members of government, the community, private companies and other sectors.

> For example, the Minister of the Environment, who only moderately supported policy changes for controlling pollution by private companies, may change his position to strongly support such changes. In that event, it could be useful to change the focus of activities. Rather than implementing activities focused on changing the Minister's opinion, which is no longer necessary, efforts could focus on obtaining his approval and signature of an environmental policy. It is difficult to focus work and advance plans without up-to-date information on the audience's opinions.
>
> (CARE, 2001)

114　Measuring policy implementation involves particular challenges. It is easier to assess if a new policy has been created, or an old one changed, than measuring whether or not a policy is being implemented. Policy implementation almost always depends on several actors carrying out policies at the national, regional, and local levels.

115　As mentioned in the *Advocacy Sourcebook* (WaterAid, 2007), the core aim of monitoring is to decide if plans and practices need to be adjusted in light of new information, because things are 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 efforts and ensure they are as effective as possible.

For example, it is easy to learn that a new regulation against discrimination of people living with HIV/AIDS may have been approved, but determining the extent to which it is actually enforced is much more difficult.

(CARE, 2001)

116   Some questions to ask when evaluating the impact of the initiative include: Have policy changes resulted in improvements in...? Have policy changes contributed to…? Have new policies been approved, or outdated/adverse policies been changed? Are policies enacted at the national, regional and/or local levels? Have advocacy messages changed the target audiences' opinions or knowledge of the issue? Has the advocacy initiative raised public awareness of and interest in the issue?

117   What is the difference between monitoring and evaluation? According to the *Advocacy Sourcebook* (WaterAid, 2007), 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. As a minimum this will involve project staff, but it is even better if project users also participate in monitoring.

118   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.

119   In conclusion, as far as possible, both processes should measure quantitative (figures) and qualitative (narrative) indicators. A lot of advocacy work results in uncountable outputs which cannot be recorded as statistics: for example, the quality and tone of speeches made by public figures, networks established or drafts of new agreements and policies. In these cases, the activity and its analysis should be described in narrative form since recording this information in figures may make it difficult to understand the data.

5 SYNTHESIZING THE ADVOCACY STRATEGY

5.1 Conclusions and recommendations

120   An advocacy strategy is a mechanism used to help influence the decision-making process so that those making the final decision have the necessary information and conviction to do so.

121   Groups may choose to exert influence for a number of different reasons: for example, there may be a gap between scientific knowledge and decision-making processes. Other reasons could include the absence of good policies in relation to a problem involving the population, or the enforcement of policies affecting certain sectors of the population.

122   Advocacy is a tool for citizen participation that aims to change certain circumstances through a solid strategy based on the organization of civil society. The success of such a strategy depends on many factors, one of which is ensuring that the strategy is prepared well according to the steps described in this report. This includes studying the context of the advocacy initiative, preparing the plan and engaging in monitoring and evaluation throughout the plan's implementation.

123   Including the population in the decision-making process confers power to people who do not hold political office. Interaction between the people and the State increases transparency in decision-making and boosts communication between both parties.

124   Decisions made are therefore based on solid information, increasing civil society's confidence in the authorities since their interests are given greater consideration.

5.2   Recommendations

125   Firstly, developing a communications strategy to complement an advocacy strategy helps to clarify how to construct messages and transmit them from the world of science to decision-making authorities.

It is important to formulate a strategic communications plan that speaks to the target audience. This involves creating programmes to exert influence on a specific audience's behaviour to raise their awareness of the chosen issue and achieve the goals of advocacy.

A communications strategy is therefore vital for the purposes of approaching policy changes. The way that messages are transmitted may help to control conflicts that arise because of cultural, social, structural or personal barriers. Some important questions that should be asked when formulating a communication strategy include: what message needs to be transmitted? Who should this message reach? How will the target audience be reached?

126   Secondly, it is important to formulate an implementation plan using real case studies. Advocacy is a process, not just an activity, and as such it requires an action plan that allows advocacy workers to successfully reach their goals through defined strategies and activities.

This document presents general guidelines because each advocacy initiative will need to implement them differently. Activities should be adapted to the strategies presented here as general guidelines.

The actions and activities described here are different ways to discuss, report and distribute the message and mobilize groups towards the proposal's purpose.

127   Finally, it is important to create a training plan to support practical preparations for each step in the construction of an advocacy initiative. This training plan should help participants to develop skills, abilities and basic knowledge relating to the processes involved in conducting and/or formulating a strategic advocacy plan.

This should include: a contextual analysis; identifying, analysing and classifying problems/issues in order of priority; mapping forms, forces and persons of power; setting targets and goals and analysing advocacy spaces and strategies.

This should be complemented by taking steps to identify the media and construct messages and reports, exercise leadership skills and build coalitions and alliances.

Lastly, a training plan should develop the negotiating skills of each person carrying out advocacy activities.

5.3   Synthesis: Steps in the advocacy strategy

I. Diagnose the problem

Understand the problems to be approached in the advocacy process. **What are we fundamentally interested in solving? What is the problem affecting us?** It is important to ask these questions to identify real and achievable goals. These problems should also be prioritized into the main problem and secondary problems.

II. Analyse decision-making spaces

In which spaces are decisions made regarding the problem to be solved? Determine whether citizens have any opportunities to participate in this decision-making process.

III. Identify audiences

Identify the actors and institutions in charge of making decisions and actors that influence these decisions, and determine existing links. **Primary actors** (authorities that decide on the problem we are interested in) and **secondary actors** (who do not make decisions directly, but influence the primary actors) should both be considered.

IV. Influence

Organize the strategy. This step helps to define specific actions linked to the achievement of the chosen goal. It is necessary to consider at least five aspects and define actions for each of them.

1. Communications strategy: using the media

2. Promotion and dissemination in civil society

3. Lobbying strategy

4. Alliance strategy

5. Training strategy: developing skills and abilities

V. Workplan

Establish the actions to be performed and identify those responsible for their execution and the timeframes required for their implementation.

VI. Evaluation and monitoring

This involves two important aspects: recording the activities performed, results obtained and decisions made, and monitoring the workplan's implementation.
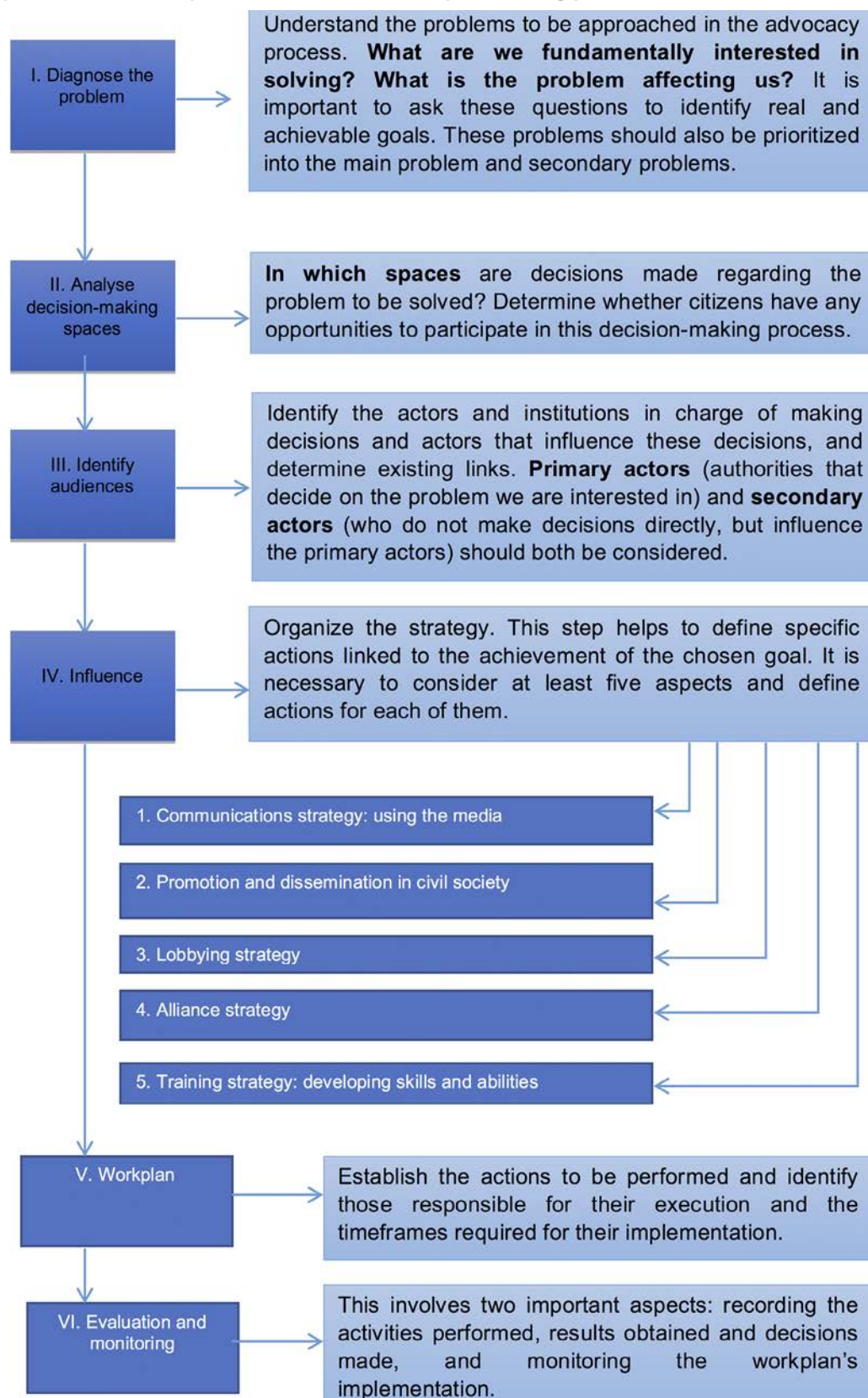
Figure 9 — Prepared by the author using information available in
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(Online references were last accessed on 22 May 2015, except where another date is specified.)

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